

Electronic Broker™

TRSDOS™ Operating System:

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Electronic Broker™ Program:

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Introduction

Before you turn on your computer, read the following sections. You will be given step-by-step instructions when they are needed, but first it is important to learn a few basic things about Electronic Broker™ and the equipment which you will be using.

Electronic Broker is designed to be a general securities brokerage bookkeeping tool. Every effort has been made to ensure that Electronic Broker produces usable information that is consistent whenever and wherever possible with current securities brokerage community customs and norms. However, no warranty is expressed or implied.

The Electronic Broker system maintains four libraries of information. The first three of these libraries are built from information supplied by you, and the last is built and maintained by the system. The libraries are designed to handle:

1. Up to five hundred client accounts (which can be sorted alphabetically), and the non-financial information for each account.
2. Up to five hundred securities (which can be sorted alphabetically), and the non-transaction information for each security.
3. Ongoing transactions, which are added to as necessary. This transaction file is used by Electronic Broker to produce well-organized, easy-to-access screen and printed records.
4. Closed (matched-off) transactions, which are maintained by the system.

The program produces or prints three major types of statements:

A statement of account.
A schedule of realized long and short term capital gains.
A listing (by security) of the holders of each security.

The program also produces information organized to help you work Electronic Broker:

A Master Listing of Accounts.
A Master Listing of Securities.
A Transaction Posting Journal.
A Transaction Posting Liquidation Report.

Features of Electronic Broker

With Electronic Broker, you may:

Enter and edit up to five hundred accounts, automatically alphabetized by account name.

Enter and edit up to five hundred securities, automatically alphabetized by security description.

Display or print accounts and securities individually, in a Cross Listing, or in a Master Listing of all accounts or securities.

Review and update security prices and market averages.

Display or print portfolio statements in summarized form or with open tax lot detail, either individually or for all portfolios and accounts.

Display or print a Cross Posting list showing all accounts which have an open position for a specific security, or which have an open position for any security in the securities library.

Display or print the realized capital gains or losses for any time period you choose for individual accounts, or for all accounts.

Enter and edit four different types of transactions, split stocks, and adjust for dividends.

Change or delete a transaction after it has been posted and before it has been involved in a closing transaction.

Print and update an unposted Transaction Posting Journal.

Delete an incorrectly entered transaction from the closeout records.

Post journal entries to positions, and print a Transaction Posting Liquidation Report.

Protecting and Handling Your Diskettes

The average office work area contains many things that can damage your diskettes. Do not expose your diskettes to dirt, liquids, or magnetic fields. Do not put your diskettes on tape recorders, quote machines, telephones, or dictating machines, all of which contain magnetic fields. Anything that can generate a magnetic field should not be close to the diskettes. Even a paper clip can become magnetized, so be careful.

1. Never insert a diskette in the computer before the system is fully powered up and the screen displays the message:

INSERT DISKETTE

2. Never shut the power off with any diskettes in the drives. First, exit the program using the **(F 1)** key. When TRSDOS READY appears on the screen, remove the diskettes from the drives. Only then can you shut off the computer without risking damage to the integrity of the data stored on the diskettes.
3. Do not put paper on the computer. Paper is an excellent insulator and will block cooling through the vents and cabinet walls. Allow good cooling ventilation.

Backups and the Backup Cycle

Making backups is the most important step you can take to protect your records. Make backups often. Establish regular cycles for your activity. The length of time for your cycle will depend on your business.

The following procedures are suggested:

1. Keep a set of backup diskettes away from the office. These are your fail safe diskettes. If all your other records are lost, you have one set of diskettes to fall back on.
2. Keep an extra set of your backup diskettes at the office. They should be kept away from all other activity, and used only when being updated, or in emergencies.
3. Update your office backups at least once each week, so that you will never be able to lose more than one week's postings. Replace your fail safe backups once a month with your latest office backups, to keep them reasonably current.
4. Make a set of backups before each posting of your unposted Transaction Posting Journal. These posting cycles will vary according to business requirements. A good habit is to make a backup and then post after every fifty transactions.

Reports: Their Use and Storage

It is usually not efficient to recall a portfolio while the client is on the phone and read it off. Besides taking up valuable time waiting for a screen display, doing this makes the computer unavailable for other tasks. A more effective use of Electronic Broker is to have all reports stored in binders. Then the reports will be ready and available when you need them. There are many benefits with this method:

You can use a printed record to make notes or comments during your discussion with the client.

You can replace the report with an updated copy whenever necessary.

You can have as many copies as you need, in different locations.

Even if your backup diskettes are damaged, you still have an accurate record with which to work.

During trading hours, your computer will be available for other important tasks.

There are four major times you will produce reports:

1. When you initially set up your records.
2. When you add new securities or accounts to the system.
3. After you enter transactions, to check for accuracy.
4. Each time you post transactions to the records.

There are three types of reports generated by the program:

1. Reports summarizing all accounts and securities in your files.
2. Activity reports showing the transactions entered.
3. Reports which show the results of transactions and market price changes on the portfolios.

You should maintain a binder of reports with sections for:

1. The Account Records
2. An Account Master Listing
3. The Security Records
4. A Security Master Listing
5. Security Cross Posting
6. The Transaction Posting Journal
7. The Transaction Posting Liquidation Report
8. Portfolio Statements—Position Summary
9. Portfolio Statements—Tax Lots
10. Capital Gains Report

Introduction (continued)

The Individual Account and Security Records, the Portfolio Statements and Capital Gains Reports, and the Security Cross Posting should be put in alphabetical order by account or security name. If you have many different sheets, they should be separated by dividers in the binder. These records are the ones you would usually need when talking to a client. They should be updated regularly.

The two Master Listings should be duplicated for use by your entire staff. They are invaluable in your day-to-day operations, both as they relate to the Electronic Broker programs, and in producing business.

The Account Master Listing includes all account descriptions, account codes, cash on hand for each account, phone numbers, and account numbers.

The Security Master Listing includes all the securities your accounts own with ticker symbols, security description, most recently entered price, the date of the most recent price, and the ex-dividend date. There is also a column (DIV/SP/%) which shows either the annual dividend payment, the strike price, or the coupon rate.

Always keep the Transaction Posting Journal and the Transaction Posting Liquidation Report in chronological order. They are your audit trail, and will help you to reconstruct every entry you have made to the system.

Notes on the Program

The comma key and the underline key should never be used in the Electronic Broker programs.

Electronic Broker is designed to handle normal brokerage numeric entries. If numeric data which is outside the normal range of a numeric field is entered into Electronic Broker, a percent sign will appear in front of the overflow field on that report, and the date might also appear in scientific notation format. This will cause your reports to be thrown out of alignment, but in most cases the number will still be reasonably accurate.

The **(F 2)** key is used to cancel an entry without storing changes. If you get lost during an entry, you can usually cancel any changes by pressing the **(F 2)** key.

The **(F 1)** key is used to exit the current function and return to the Main Menu.

You can exit the program and go to TRSDOS READY by pressing the **(F 1)** key at the Main Menu.

Notes on the Printer

There may be special cases in which you will need to reinitialize the printer.

For example, you might want to post records, and then turn the printer Off Line after the Transaction Posting Liquidation Report is produced in order to stop the paper from line feeding down to the next page. Even though you put the printer back On Line after returning to the Main Menu, the next time a report is specified you may receive a printer error message. This means the printer is "confused" and needs to be reinitialized.

To reinitialize the printer, first make sure the printer is On Line and loaded with paper. Exit to TRSDOS READY from the Main Menu, and reset the machine. Then enter the date and time when prompted by the computer. Type **(E)(B)** and press **(ENTER)**. The Main Menu will reappear, and the printer will be ready.

You can use this reinitialization procedure whenever the printer will not respond for any reason.

Notes on the Sample Data Base

Electronic Broker provides sample data to acquaint you with the system. After you have gone through the introductory exercises, you can delete these records from the diskette to provide space for your own records. Instructions for deleting all records are given in Section VIII, Initial Setup, of this manual.

The sample data is for Mr. John J. Smith and his related accounts. These accounts include:

- A very aggressive personal trading account.
- A conservative income joint account with his wife Mary.
- A growth and total return custodian account for son, John Jr.
- A preferred rollover corporate account for Smith Oil Corp.
- A growth and total return company pension plan.

Before you begin entering your own account records, read and execute all of the instructions in this manual. The time you spend in this review will save you time and frustration later. Samples of reports which you will produce using this sample data appear in Appendix F.

Definition of Terms as Used in Electronic Broker

Cash = Cash deposits—Cash withdrawals + Dividends and Interest
income—Dividends and Interest expenses + Proceeds of stock—Buys of stock

Capital = Cash + / - Securities at Cost + Gains—Losses

Securities at Cost = Amount paid adjusted for transaction costs

Market Value = # of Securities x Current Market Price

Unrealized P / L = Market—Cost



Minimum Equipment for Electronic Broker:

A TRS-80 Model II 64K computer

A Radio Shack printer capable of printing at least 80 columns per line

Printer cable

Optional Disk Expansion Drive Unit with additional disk drives can be used to increase disk storage capacity.

The TRS-80 Hard Disk System can also be used with Electronic Broker.

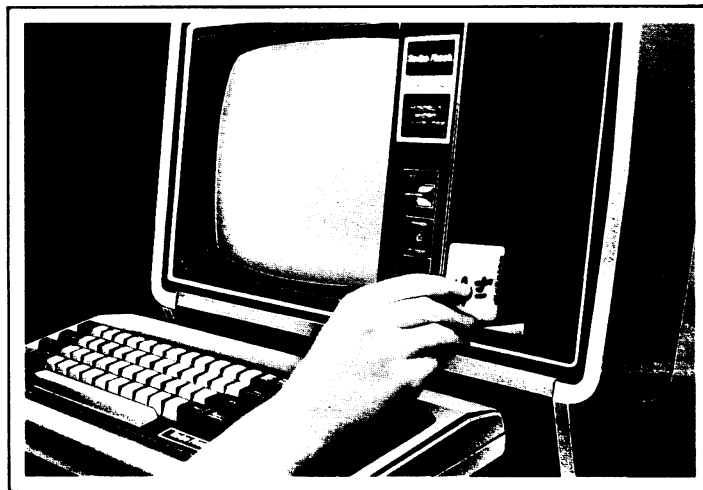
Turning the Computer On

Note: If you are using a Hard Disk system, refer to Appendix G in this manual for instructions.

If you intend to use your Hard Disk system only after working with the sample data provided on the floppy diskette, continue with the instructions in this manual for floppy diskette users. When you want to start using your Hard Disk, follow the sequence of instructions indicated in Appendix G.

Turn on each part of the system in the following order:

1. The Model II computer. Flip the Power switch up.
2. The Disk Expansion Drive Unit, if applicable. A single switch on the right side of the front panel turns the drives on. Flip the power switch up.
3. Turn the printer on. Make sure the printer is On Line. The screen will show: INSERT DISKETTE. Insert the diskette with the label facing to the right, and the oblong hole pointing toward the back of the computer. Push the diskette into the drive until it clicks into place. Close the diskette drive door until it clicks shut.



Wait until the screen displays the Tandy Corporation logo and the message: Enter Date (MM/DD/YYYY).

Press the **Ⓢ** key once. The red light built into the key will turn on. Do not use lower case entries, except for account or security data entry, if you prefer. All responses to computer prompts must be in upper case.

Basic Instructions (continued)

The date should be typed exactly as follows: month (two digits 01 to 12), a slash, day (two digits, 01 to 31), a slash, and year (four digits). For example: June 3, 1982 would be 06/03/1982. When you have the date typed correctly, press the **ENTER** key.

Next, the system will prompt you to enter the time.

Electronic Broker uses the time on several of the reports and displays to show when certain calculations or lists are made. The computer uses a 24 hour clock. The hour of the day is two digits (01 to 24, followed by a period). The minutes of the hour are two digits (01 to 59, followed by a period). The seconds are two digits (01 to 59).

Type in the time, using the format: HH.MM.SS For example: 1:15 p.m. would become 13.15.00.

If you skip this step (by pressing **ENTER**), the computer will use the time elapsed since the computer was turned on. It is a good habit to set the clock each time you turn on the computer, so that you can have the correct time inserted automatically.

After checking for accuracy, press the **ENTER** key.

The screen will show:

TRSDOS READY.

Making Your First Backup

You must make a backup diskette of Electronic Broker. This is a very important step and should not be skipped. Refer to Appendix A at the end of this manual and follow the instructions given.

Note: If you are using the TRS-80 Model II Hard Disk System, read Appendix G in this manual and refer to the SAVE and RESTORE instructions in your owner's manual to make backups of the information on the Hard Disk.

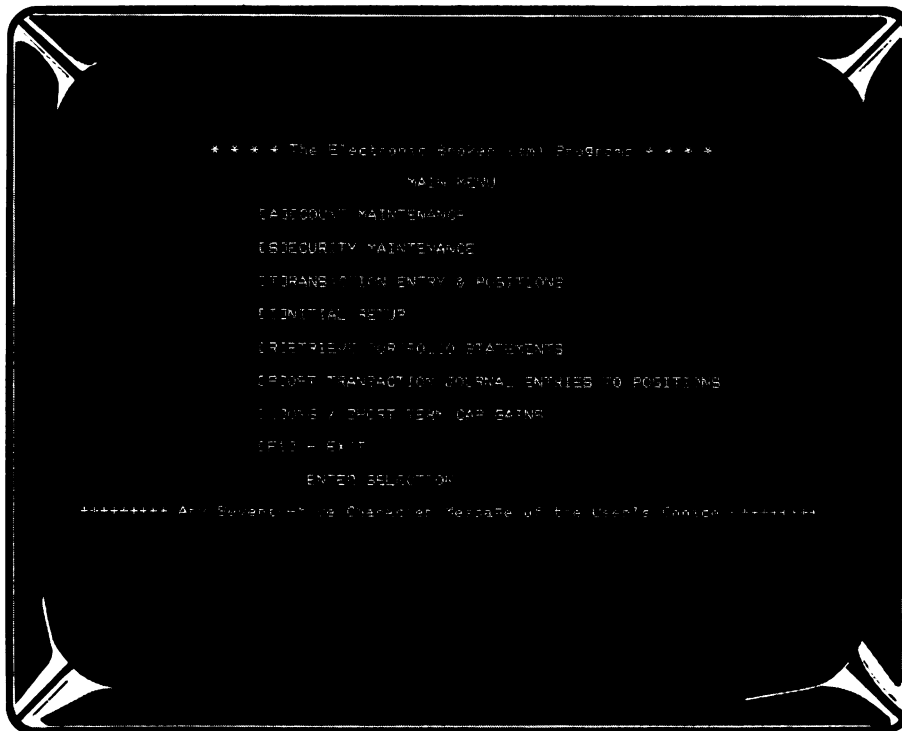
After backups are made, continue with the manual.

Running the Program

A copy of the Electronic Broker program diskette must always be in Drive 0 in order to run the program (unless you are using Hard Disk). The diskettes which you format are called your Data diskettes, and are used to store your records. When you are entering your own records, your Data diskettes need to be inserted in the drives which you will specify at Initial Setup (this will be explained in Section VIII).

For now, we will use only the program diskette. At TRSDOS READY, and with your Working Copy of Electronic Broker in Drive 0, type: **(E)(B)** and press **(ENTER)**.

After a short time, the Main Menu will appear.



All the major functions of the Electronic Broker program are selected from the Main Menu. To select the function that you want, press the letter or symbol in brackets.

Here is a brief explanation of the Main Menu functions:

Account Maintenance—Lets you retrieve, delete, add, or edit non-financial information on accounts. Prints or displays an Account Master Listing.

Basic Instructions (continued)

Security Maintenance—Lets you retrieve, delete, add, edit, or price non-transaction information on securities. Prints or displays a Security Master Listing.

Transaction Entry and Positions—Lets you add, delete, or edit transactions, split stocks, and adjust dividends. You can print and update the unposted Transaction Posting Journal in this function.

Initial Setup—Lets you delete some or all records from the files, or change the configuration of your Electronic Broker system. You can also enter a user name here to be displayed across the bottom of all menus and reports.

Retrieve Portfolio Statements—Lets you retrieve portfolio statements and cross post either individually, or for all accounts and securities.

Post Journal Entries to Positions—Automatically posts the unposted records and prints the Transaction Posting Liquidation Report.

Long/Short Term Capital Gains—Lets you retrieve the realized gain or loss for any time period you specify by individual account or for all accounts. You can also delete bad closeout records or kill all data from your closeout files.

F1—Exit—Lets you exit back to TRSDOS.

Retrieving Information

You will now take a quick look at the main information retrieval functions of Electronic Broker.

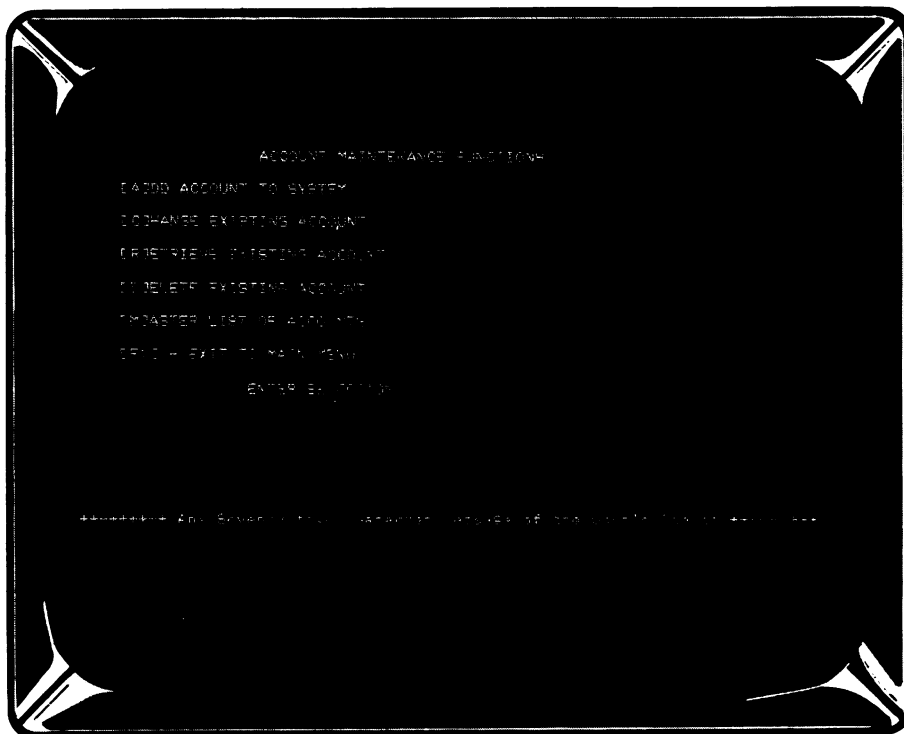
Account Maintenance

Press the **(A)** key at the Main Menu for Account Maintenance.

The screen will show:

LOADING ACCOUNT MAINTENANCE PROGRAM

After a few moments, the screen will show:



This is the Account Maintenance Menu. It has five functions:

Add Account to System — Lets you add new accounts to your files.

Change Existing Account— Lets you change non-transaction information for an existing account.

Retrieving Information (continued)

Retrieve Existing Account—Lets you display or print the non-financial information on file for an account.

Delete Existing Account—Lets you delete an existing account.

Master List of Accounts—Lets you display or print the non-financial information for all accounts.

F1—Exit—Lets you exit back to the Main Menu.

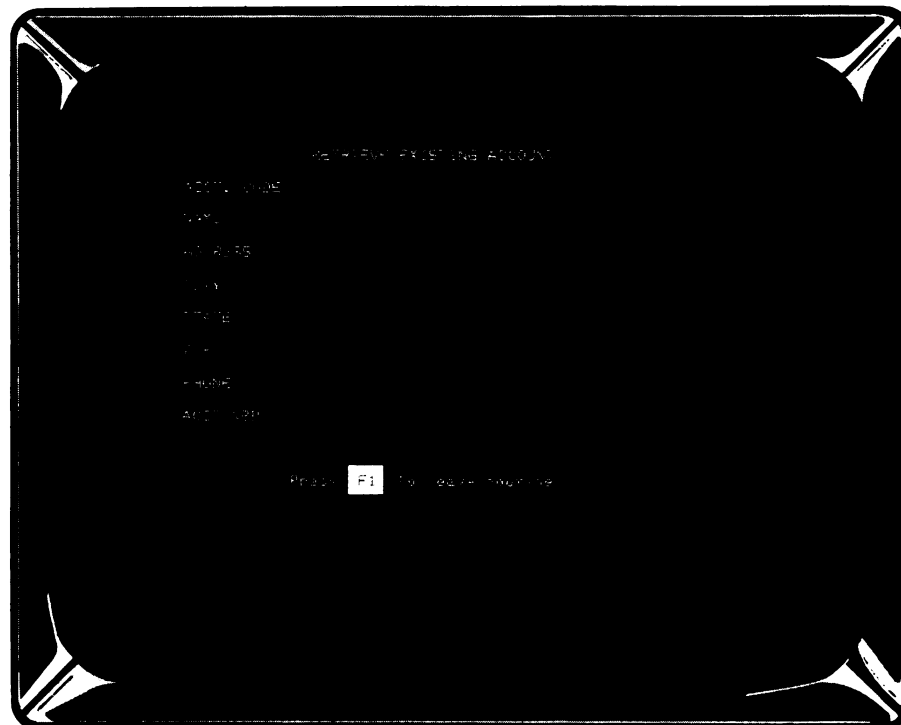
If you press any key besides one of the six shown, the message: INVALID FUNCTION will appear.

Retrieving an Account

The first method of retrieving non-financial account information will now be used.

Press the **(R)** key at the Account Maintenance Menu.

The screen will show:

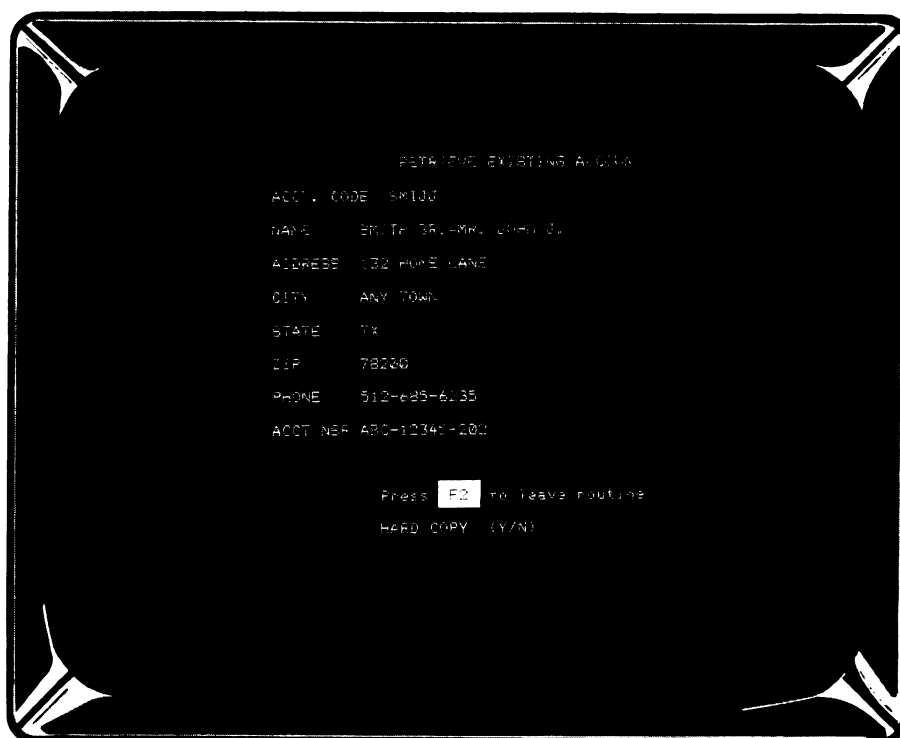


Retrieving Information (continued)

You must enter the account code of the account to be retrieved.

Type: **S** **M** **I** **J** **J** and press the **ENTER** key.

The screen will show:



The screenshot shows a computer screen with a dark background and white text. The text is centered and reads:

```
RETRIEVE EXISTING ACCOUNT  
ACCOUNT CODE: SMIJJ  
NAME: SMITH, BRUCE, JOHN C.  
ADDRESS: 123 HOME LANE  
CITY: ANY TOWN  
STATE: TX  
ZIP: 78123  
PHONE: 512-685-6135  
ACCOUNT NR: ABC-12345-200  
  
Press F2 to leave routine  
HARD COPY (Y/N)
```

If you make a mistake, the message: ACCOUNT NOT FOUND will be displayed. The system will wait for your next account entry. If you made a mistake, try again by retyping **S** **M** **I** **J** **J** and pressing the **ENTER** key.

After the account information is displayed, the message: HARD COPY (Y/N) will appear at the bottom of the screen.

Press the **Y** key to print this record.

If the printer is not on, loaded with paper, and ready to print, the screen will show one of these two printer error messages:

ERROR 42—PRINTER NOT READY
DO YOU WANT TO CONTINUE (Y/N)

ERROR 43—PRINTER OUT OF PAPER
DO YOU WANT TO CONTINUE (Y/N)

Retrieving Information (continued)

Make sure the printer is turned on, has paper, and is On-Line. Then press the ☐ Y key.

The account will be displayed again, and you will be asked: HARDCOPY (Y/N). Press the ☐ Y key.

Next, the screen will show: MORE ACCOUNTS (Y/N).

Press the ☐ Y key.

Type the account code for each of the four other accounts included in the sample data base. These accounts (SMIO, SMIPS, SMIJC, and SMIJM) are shown on the following pages. Print a copy of each account record.

After printing the accounts, press the ☐ N key in answer to: MORE ACCOUNTS (Y/N). The program will return to the Account Maintenance Menu.

Account Record 1

RETRIEVE EXISTING ACCOUNT

ACCT. CODE SMIO
NAME SMITH OIL CORPORATION=THE
ADDRESS 233 DOWN TOWN
CITY ANY CITY
STATE TX
ZIP 78250
PHONE 512-456-9876
ACCT NBR ABC-12348-202

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

Account Record 2

RETRIEVE EXISTING ACCOUNT

ACCT. CODE SMIPS

NAME SMITH OIL PROFIT SHARING PLAN

ADDRESS 233 DOWN TOWN

CITY ANY CITY

STATE TX

ZIP 78250

PHONE 512-456-9876

ACCT NBR ABC-12348-202

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

Account Record 3

RETRIEVE EXISTING ACCOUNT

ACCT. CODE SMIJC

NAME SMITH SR CUST FOR JOHN JR=JOHN

ADDRESS 132 HOME LANE

CITY ANY TOWN

STATE TX

ZIP 78200

PHONE 512-685-2635

ACCT NBR ABC-12347-202

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

Retrieving Information (continued)

Account Record 4

RETRIEVE EXISTING ACCOUNT

ACCT. CODE SMIJM
NAME SMITH SR=JOHN J & MARY P
ADDRESS 132 HOME LANE
CITY ANY TOWN
STATE TX
ZIP 78200
PHONE 512-685-2635
ACCT NBR ABC-12346-202

+++++++ Any Seventy-five Character Message of the User's Choice ++++++

Master List of Accounts

The second method of retrieving non-financial account information is through the Master List Of Accounts.

Press the **(M)** key to select Master List of Accounts.

The question: Output to Screen or Printer (S/P) will appear.

Press the **(S)** key.

The screen will show:

SORTING ACCOUNTS ALPHABETICALLY press F2 to leave routine

After a few moments, the Account Master Listing will appear. The number of accounts on file will determine how long it will take to sort them alphabetically.

When you have displayed or printed the records you need, you can stop the listing process by pressing the **(F 2)** key.

When you have finished reviewing the accounts list, press the **(ENTER)** key.

You will return to the the Account Maintenance Menu.

Retrieving Information (continued)

Now you will print the list.

Press the **(M)** key again to select Master List of Accounts.

Make sure your printer is On-Line and ready. Then press the **(P)** key to print.

The same steps will occur, except the list will be printed (as shown in Appendix F). A copy of the Account Master Listing can be kept with the individual account information pages you printed earlier. Each member of your staff can have a copy of the list for ready reference.

During printing you may press the **(F 2)** key to cancel printing.

When the printing is finished the message: PRESS ENTER TO CONTINUE will appear.

Press the **(ENTER)** key to return to the Account Maintenance Menu.

The other Account Maintenance functions (Add Account to System, Change Existing Account, and Delete Existing Account) will be explained later in this manual. Press the **(F 1)** key to return to the Main Menu.

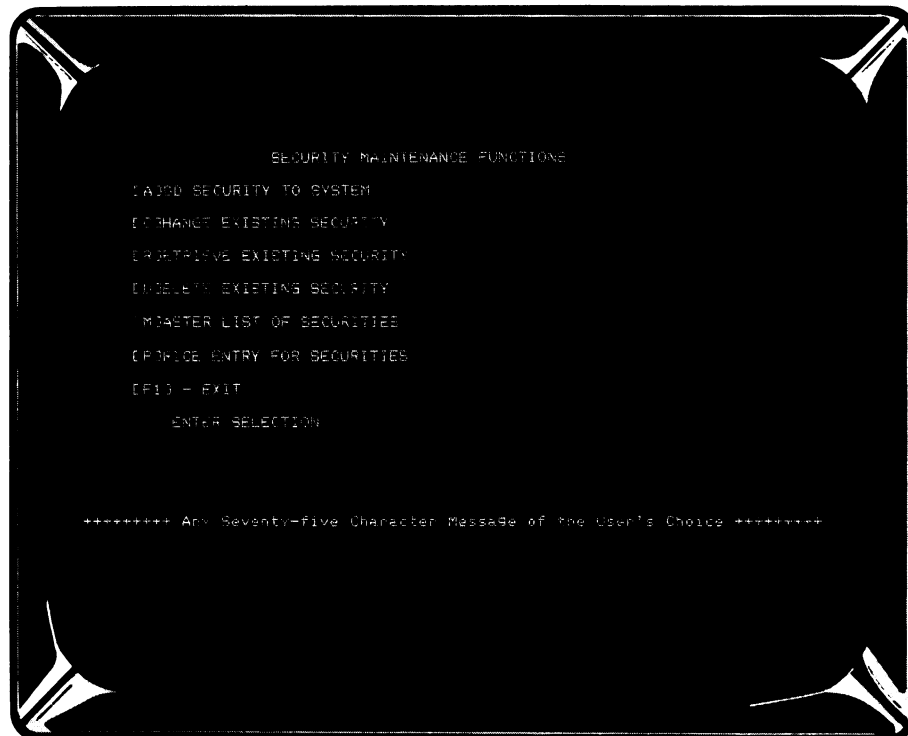
Security Maintenance

At the Main Menu, press the **(S)** key for Security Maintenance.

The screen will show:

LOADING SECURITY MAINTENANCE PROGRAM

After a few moments, the screen will show:



The Security Maintenance Menu has six functions:

Add Security to System — Lets you add new securities to the system.

Change Existing Security— Lets you change non-transaction information for an existing security.

Retrieve Existing Security— Lets you retrieve and print an existing security.

Delete Existing Security— Lets you delete an existing security.

Master List of Securities— Lets you display or print the non-transaction information for all securities.

Price Entry for Securities—Lets you review and update security prices and market averages.

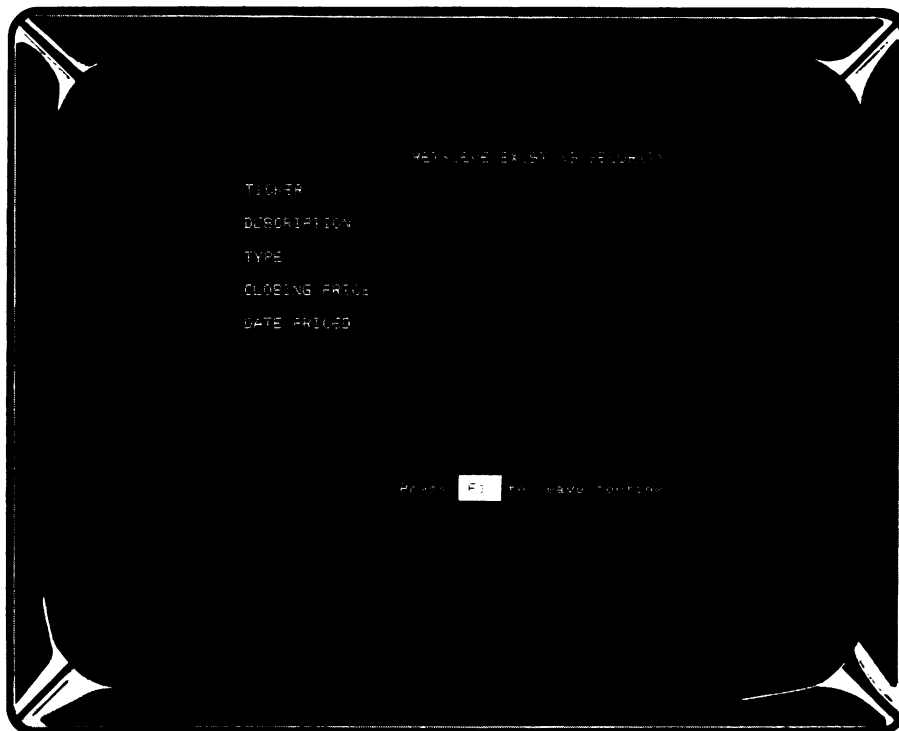
F1—Exit—Lets you return to the Main Menu.

Retrieving a Security

The first method of retrieving non-transaction security information will now be examined.

Press the **(R)** key to Retrieve Existing Security.

The screen will show:



You must enter the ticker symbol of the security to be retrieved.

Type: **(T)(A)(N)** and press **(ENTER)** to request the information on file for Tandy Corporation.

The screen will display the information for Tandy Corporation (as shown in Appendix F).

Retrieving Information (continued)

If you make a mistake or try to retrieve a security not in the system, the message: SECURITY NOT FOUND will appear. Enter the ticker again if necessary.

The message: HARD COPY (Y/N) will appear.

Check your printer (make sure it's On-line and ready), and then press the ☐Y key to print this security information.

Press the ☐N key in answer to the question: MORE TICKERS (Y/N). To retrieve another security, you would have pressed the ☐Y key.

You will be returned to the Security Maintenance Menu.

There are three types of security information screens. They display options, bonds, or stocks. These will be discussed in detail later in the manual.

Master List of Securities

The second method of retrieving non-transaction security information is through the Master List of Securities function.

Press the ☐M key at the Security Maintenance Menu to select Master List of Securities.

The question: OUTPUT TO SCREEN OR PRINTER (S/P) will appear.

Press the ☐S key.

The screen will show:

SORTING SECURITIES ALPHABETICALLY press F2 to leave routine

The greater the number of securities in the file, the more time required for the sort. To leave the sort before it is finished, or to interrupt the printing, press the ☐F 2 key.

After a few moments, the Security Master Listing will appear on the screen. This is a very important information listing. It is a complete listing of all the tickers for securities in your system, plus the description, price, date priced, and ex-date. The dividend, strike price, or coupon rate is also shown under the column heading: DIV-SP-%. The date and time the list was produced is also shown.

Retrieving Information (continued)

When you are working with your own accounts, a copy can be printed and kept with your individual security records. Each member of your staff can have a copy of the list for ready reference.

Review the securities list. Press **(Y)** to display the next page of the securities list.

When the last page of the list has been displayed the message: PRESS ENTER TO CONTINUE will appear at the bottom of the screen.

Press the **(ENTER)** key. You will return to the Security Maintenance Menu.

This time print the list.

Press the **(M)** key for Master List of Securities.

Press the **(P)** key to print, after checking to make sure your printer is On-line and ready.

The securities information will be printed (as shown in Appendix F).

Press **(ENTER)** (or the **(F2)** key) to return to the Security Maintenance Menu.

The rest of the Security Maintenance functions (Add Security to System, Change Existing Security, Delete Existing Security, and Price Entry for Securities) will be explained later in the manual.

Press the **(F1)** key to return to the Main Menu.

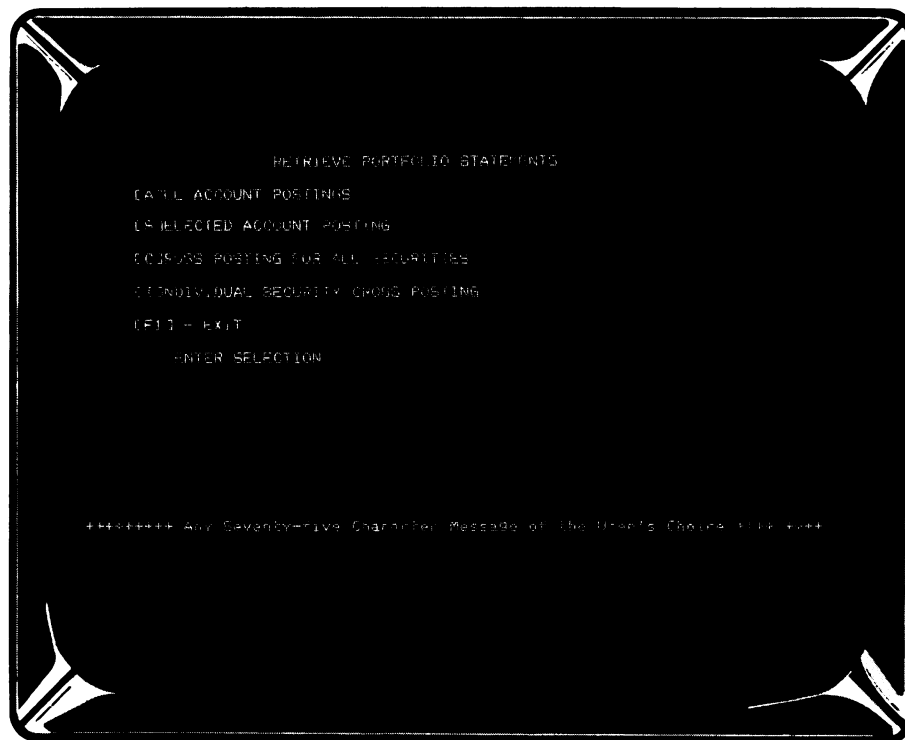
Retrieving Portfolio Statements

At the Main Menu, press the **(R)** key to Retrieve Portfolio Statements.

The screen will show:

LOADING PORTFOLIO STATEMENT PROGRAM

After a few moments, the screen will show:



The selection menu for Retrieve Portfolio Statements has four functions.

All Account Postings—Lets you display or print a listing of all portfolio statements for all accounts.

Selected Account Posting—Lets you display or print the portfolio statement for an individual account. You can request a listing of each individual open tax lot held by the client, or a summary display of each security held in the portfolio.

Cross Posting For All Securities— Lets you display or print a list of all accounts which have an open position in every security in the securities library.

Individual Security Cross Posting—Lets you display or print a list of all accounts which have an open position in a specific security.

F1—Exit—Lets you return to the Main Menu.

Selected Account Posting

Press the **(S)** key at the Retrieve Portfolio Statements Menu for Selected Account Posting.

The screen will display several questions. Each question is displayed after the previous question has been answered.

The first question asks for the account code of the account you wish to review. Enter the account code for Mr. Smith.

Type: **(S)(M)(I)(J)(J)** and press the **(ENTER)** key.

MR. JOHN J. SMITH SR. will be displayed.

Here are the rest of the questions and the appropriate responses:

OUTPUT TO SCREEN OR PRINTER (S/P)

Press the **(P)** key to show that you want a printout. You should check your printer at this point to make sure it is On-line and ready. The word: PRINTER will be displayed.

SHOULD TAX LOTS BE PRINTED (Y/N)

Press **(N)** to indicate that individual open tax lots should not be printed. The message: NO TAX LOTS will be displayed.

RETRIEVE BY <S>ecurity <P>osition or <M>kt Share

Press **(S)** to indicate that the list of securities should be alphabetized by ticker. The word: SECURITY will be displayed.

The P option (for Position) lists the securities by number of shares in descending order. The M option (for Market share) lists the securities held by market value in descending order.

SHOULD PERFORMANCE COMPARISON BE CALCULATED (Y/N)

Press **(Y)** to compute and display a year to date performance for the three leading market averages.

The screen will show:

PROCESSING ACCOUNT POSITIONS

The printer will start and the portfolio summary for Mr. Smith will be printed (see Appendix F).

Retrieving Information (continued)

When the printing is finished, you will return to the Retrieve Portfolio Statements Menu.

Next, you will print out the same portfolio with open tax lot detail.

Press the **(S)** key again at the Retrieve Portfolio Statements Menu.

The same account code prompt will appear.

Type: **(S)(M)(I)(J)(J)** and press the **(ENTER)** key.

Press the **(P)** key to print.

Press the **(Y)** key to answer: SHOULD TAX LOTS BE PRINTED (Y/N).

The system will begin printing out the open tax lots on file for Mr. Smith.

Both the summary and tax lot detail statements can be kept in an alphabetized binder for quick retrieval at all times. After transactions are posted to the Transaction Posting Journal, you can find the accounts and securities showing changes. New portfolio statements should be printed for the changed accounts and securities to replace the old ones.

The Retrieve All Account Postings option (in the Retrieve Portfolio Statements Menu) is identical to the **Retrieve Selected Account Posting** option, except that it will display or print a review for all accounts. The report will print in the sequence that the items have been entered, rather than alphabetically.

In actual use, All Account Postings can be very time consuming. You could be printing statements for hundreds of accounts with thousands of positions. For that reason, and because the screen display has size limitations, it is suggested that you do not often use the All Account Postings to create a screen display.

To stop retrieval of an All Account Postings function before it is finished, press the **(F2)** key. The system will return to the Retrieve Portfolio Statements Menu.

See Appendix F for a copy of the Open Tax Lot Detail Report.

Individual Security Cross Posting

From the Retrieve Portfolio Statements functions menu, you will now list the accounts which are holding a specific security. Most brokers call this a cross posting, or reverse posting.

Press the **(I)** key for Individual Security Cross Posting.

The screen will show:

OUTPUT TO SCREEN OR PRINTER (S/P)

Press the **(P)** key to Print.

The word: PRINTER is displayed and then: ENTER SELECTED SECURITY appears.

Type: **(T)(A)(N)** and press the **(ENTER)** key to request a listing of sample data for the holders of Tandy Corporation securities.

You can refer to the Transaction Posting Journal (after your daily posting) to update your Individual Security Cross posting Reports. New cross posting reports should be printed for all securities showing changes, and kept in an alphabetized binder with your other statements.

The printer lists all accounts in the file with a net open position for the selected security. The list includes the account description, the account code, the net number of shares owned, and the account phone number. A sample of this listing is shown in Appendix F.

The Cross Posting For All Securities option operates in the same manner as the Individual Security Cross Posting option, except that no selection of ticker is made. Instead, a record is printed or displayed for every security with at least one owner. You can interrupt this listing to do another task by pressing the **(F 2)** key.

The Retrieve Portfolio Statements Menu returns when the printing is finished.

Press the **(F 1)** key to return to the Main Menu.

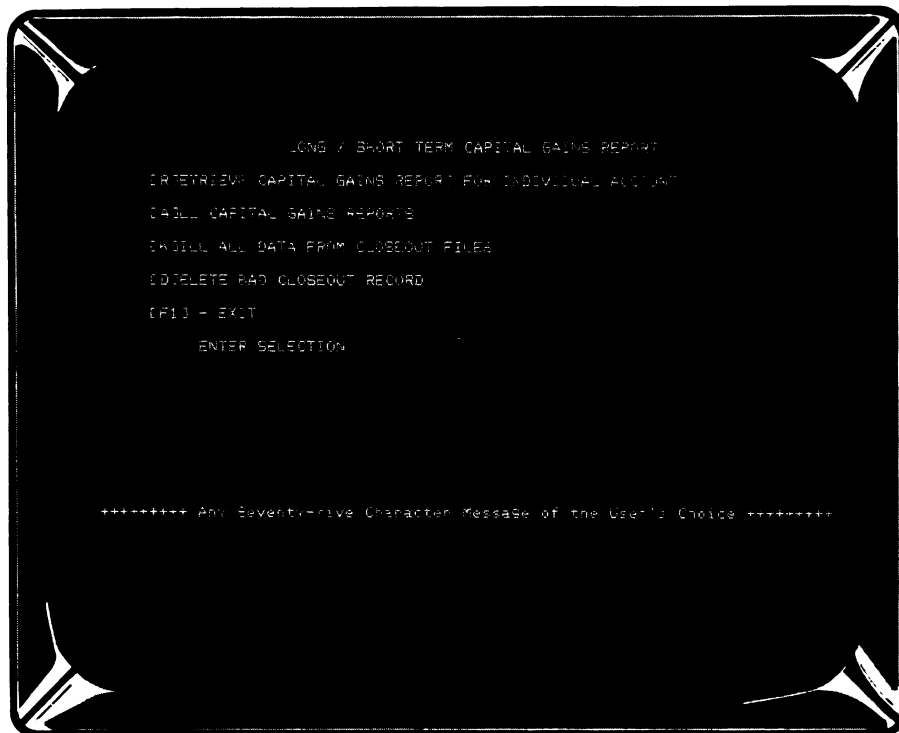
Retrieving Long/Short Term Capital Gains Reports

At the Main Menu, press the **[L]** key for Long/Short Term Capital Gains Reports.

The screen will show:

LOADING CAPITAL GAINS PROGRAM

After a few moments, the screen will show:



The Long/Short Term Capital Gains Report Menu has four functions.

Retrieve Capital Gains Report for Individual Account—Lets you print or display the realized capital gain or loss for any time period you specify for a single account.

All Capital Gains Reports—Lets you print or display the realized capital gains or losses for any time period you specify for all accounts.

Kill All Data From Closeout Files—Deletes all entered and posted closed transactions from the closeouts library.

Delete Bad Closeout Record—Lets you delete an incorrectly entered and posted closing transaction from the closeout records.

F1—Exit—Lets you return to the Main Menu.

Press the **(R)** key for Retrieve Capital Gains Report for Individual Account.

The screen will list several questions.

First, the account code must be entered.

Type: **(S)(M)(I)(J)(J)** and press **(ENTER)**.

MR. JOHN J. SMITH SR. is displayed.

At the question: SCREEN OR PRINTER (S/P), press the **(P)** key.

The word: PRINTER will be displayed.

The next two questions specify the time period covered by the report.

ENTER STARTING PERIOD (MMDDYY)

ENTER ENDING PERIOD (MMDDYY)

These are designed to let you retrieve the realized capital gain or loss for any time period you specify. For example, a review of the realized gains and losses can be chosen for a week, month, quarter, or year. If no dates are entered, the system will display all the realized gains and losses in the file.

Instead of entering dates, press the **(ENTER)** key twice. This will notify the system to retrieve all the closeouts in the file, regardless of date. Information identifying the account and the security involved will be printed. This report is shown in Appendix F.

The Retrieve All Capital Gains Reports function is similar to the **Retrieve Capital Gains Report for Individual Account** function, but it produces a listing for all of the accounts that have partial or complete position closeouts. The report will print in the sequence that the items have been entered, rather than alphabetically. If a portfolio has no closed out position, the message: NO CLOSEOUTS will appear, and no printout will be produced for that account. You must press **(ENTER)** or **(F2)** to continue.

You can interrupt the All Capital Gains Reports function before it is finished by pressing the **(F2)** key.

The Kill All Data and Delete Bad Closeouts functions will be explained later, in Section IX.

Press the **(F1)** key to return to the Main Menu.

Summary of Retrieval Reports

At this point you have reviewed all of the information retrieval functions with the exception of the Transaction Posting Journal, which will be covered shortly.

First, let's review the printed reports you have produced so far.

1. In Account Maintenance, the non-financial information for each account was printed, using Retrieve Existing Account.
2. Then an Account Master Listing including all the accounts in the files was printed.
3. In Security Maintenance, a copy of the non-transaction information for a specific security, Tandy Corporation, was printed.
4. A Security Master Listing showing all the securities in the file was printed.
5. In Retrieve Portfolio Statements, you produced a summary portfolio statement for Mr. Smith.
6. Then you printed a detail portfolio statement with all of his individual open tax lots listed.
7. A cross posting report of all the holders of net open positions of a specific security, Tandy Corporation, was printed.
8. In Long/Short Term Capital Gains Report, a capital gains report for Mr. Smith was produced.

Keep these eight reports. You will be referring to them in the next section of this manual to track the changes in data files, and to see how the results of those changes appear.

Transaction Entry and Positions

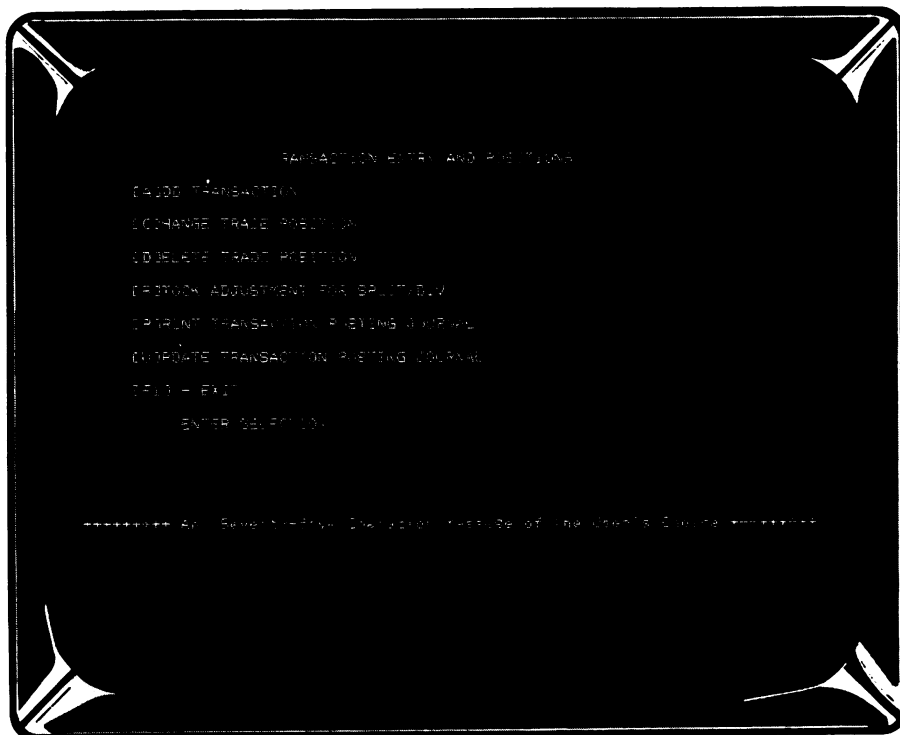
You will now work with the functions which manage the transaction information in the system.

At the Main Menu, press the **(T)** key for the Transaction Entry function.

The screen will show:

LOADING TRANSACTION ENTRY PROGRAM

After a few moments, the screen will show:



The Transaction Entry and Positions Menu has six functions:

Add Transaction—Lets you enter four different types of transactions.

Change Trade Position—Lets you change a transaction after it has been posted, but before it has been involved in a closing transaction.

Delete Trade Position—Lets you delete a transaction after it has been posted, but before it has been involved in a closing transaction.

Stock Adjustment for Split/Div—Lets you split stocks or adjust for dividends.

Transaction Entry and Positions (continued)

Print Transaction Posting Journal—Will print the unposted transactions in the Transaction Posting Journal.

Update Transaction Posting Journal—Lets you update or correct the unposted Transaction Posting Journal before it is posted.

F1—Exit—Lets you return to the Main Menu.

Printing the Transaction Posting Journal Before Posting

The Transaction Posting Journal is a listing of all the transactions which have been entered using the Add Transaction function at the Transaction Entry And Positions Menu.

The Electronic Broker program includes a sample data base of information. There are also several sample transactions which have been entered to the Transaction Posting Journal and have not been posted.

There is a purpose for a Transaction Posting Journal which is not automatically posted. It gives you an opportunity to correct transaction entry errors before they become part of your files.

Press the **(P)** key to print the Transaction Posting Journal. The screen will show: PRINTING TRANSACTION POSTING JOURNAL If you wanted to leave the routine, you would press the **(F 2)** key.

You have just printed the Transaction Posting Journal. The Transaction Posting Journals can only be retrieved on the printer. These are very important documents. They should always be kept in a binder in chronological order. Reconstruction of any activity in an account can be accomplished by referring to the transactions listed in these journals.

There are several indicators that might appear in the TRAN EXP. column. A CDP will indicate a cash deposit or withdrawal (a withdrawal would be a negative number), a CDV indicates a cash dividend, an INC indicates interest income, and a lot number will appear if you have identified a specific lot.

A copy of the Transaction Posting Journal is in Appendix F.

When the printing is finished, you will be returned to the Transaction Entry and Positions menu.

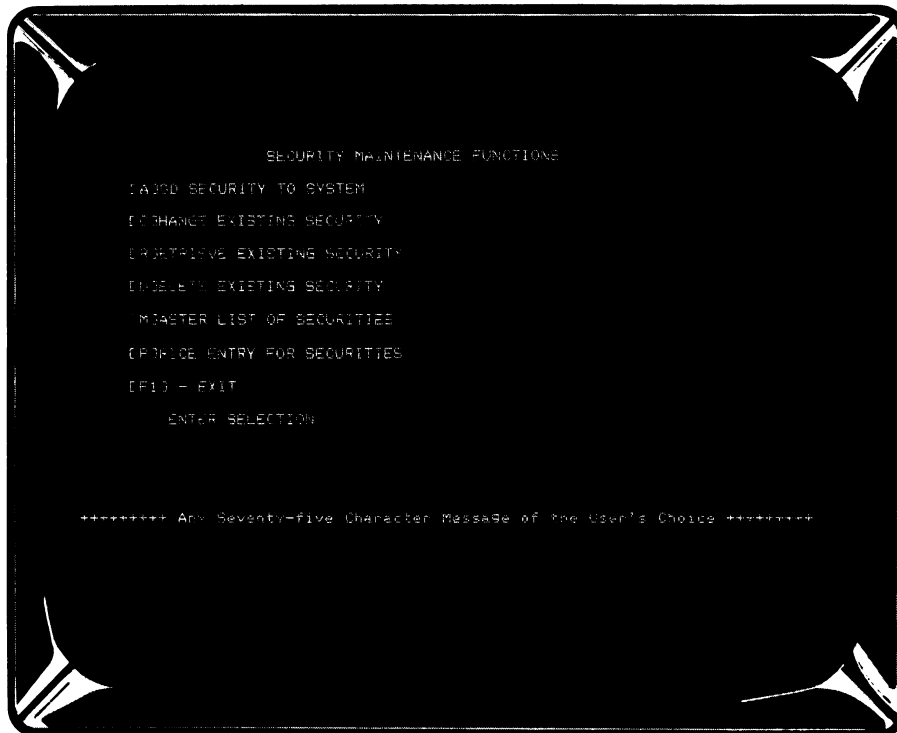
Updating the Transaction Posting Journal

Transaction Posting Journals can be used to review transactions for accuracy before the transactions become part of the permanent files. If a mistake is found, it can be corrected by following the procedures shown in the next few examples.

Transaction Entry and Positions (continued)

Press the **(U)** key to select the Update Transaction Posting Journal function.

The screen will show:



To correct an error in the Transaction Posting Journal before posting, type the number of the incorrect record as it appears in the first column on the left of the printed journal.

Type **(1)** and press the **(ENTER)** key.

The screen will change to display the original record entry information.

The question: UPDATE RECORD (Y/N) will appear on the bottom of the screen.

Press **(Y)**. The question: CHANGE OR DELETE (C/D) will appear at the bottom of the screen.

You will not want to DELETE a record at this time. If you had pressed the **(D)** key to Delete the transaction record, the entire transaction would be ignored when the journal is posted to the files. The message: TRADE DELETED PRESS ENTER TO CONTINUE would appear at the bottom of the screen.

The deleted entries would be left on the unposted Transaction Posting Journal followed by the word: DELETED and the record number set to -1.

Transaction Entry and Positions (continued)

Press **(C)**. The highlight appears at the first data location.

To change a particular item of information, you press **(ENTER)** until the highlight has moved to the entry which is to be changed. Then you enter the correct data and press the **(ENTER)** key.

Continue pressing **(ENTER)** at each data location until all the data locations have been bypassed. The question: CHANGE (Y/N) will appear.

If you press **(Y)**, the transaction will be changed and the message: TRADE CHANGED PRESS ENTER TO CONTINUE will appear at the bottom of the screen.

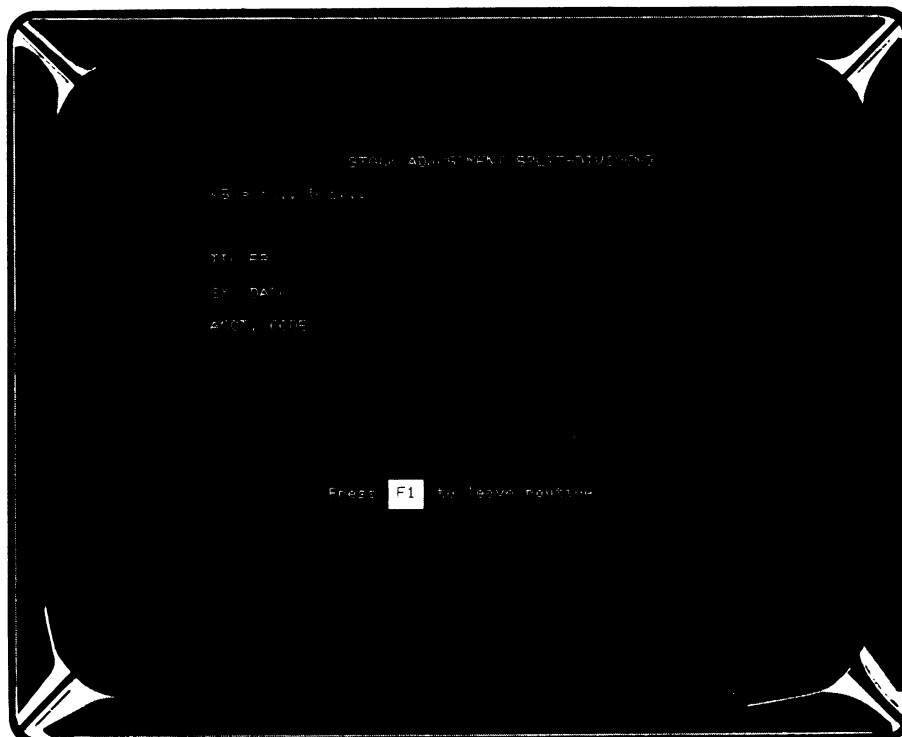
If the **(N)** is pressed, the original entry is left unchanged. Press **(N)** to **not** change the entry.

The Transaction Entry and Positions Menu will return.

Stock Adjustment for Split/Dividend

Press the **(S)** key at the Transaction Entry and Positions Menu.

The screen will show:



STOCK ADJUSTMENT SPLIT/DIVIDEND

ACCOUNT NO. 100000

TR. PR

EX. DATE

ADJ. CODE

Press F1 to leave routine

Each account that owns the security that is splitting must be identified. All open positions which were opened prior to the ex-dividend date will be adjusted for the split or dividend in each account which is identified. The price for the stock that is split will also be adjusted according to the split.

Note: Remember when you are adjusting for a split or dividend to adjust your options accordingly.

The following steps should be followed to record a split or dividend.

Print a list of the holders of the security. You have already done this for Tandy Corporation. Look at this list (which you produced with Individual Security Cross Posting).

We will use the Tandy Corporation information for our example. Identify the accounts with positions in the security needing adjustment.

Transaction Entry and Positions (continued)

The **(S)** key would be pressed to select a stock Split. The **(D)** key would be pressed to select a stock Dividend.

Press the **(S)** key and press **(ENTER)** to select the stock Split function.

The screen will show: AMT OF SPLIT.

If you had pressed the **(D)** key, the screen would show: DIV AS A PCT.

The amount of the split must be entered. This is entered as the number of shares which will be remaining per one share after the split. The table below illustrates various splits.

Original Shares	Entry to System	Remaining Number of Shares
1	2	2
2	3	6
3	4	12
4	5	20
5	6	30

Odd shares are automatically converted to cash by the programs.

The program can also record a reverse split. For example, if shares are reverse split 1 for 2, you would enter **(.5)** as the number of shares remaining per original one share.

To enter a dividend, the whole number percentage value of the dividend is typed. The table below illustrates entry of dividend adjustments.

Dividend Percent	Entry to System
5%	(5)
10%	(1)(0)
20%	(2)(0)
25%	(2)(5)

Return to the stock split now. Type **(2)** and press **(ENTER)**. This shows that the SPLIT is two new shares for each original share.

Type: **(T)(A)(N)** and press **(ENTER)** to identify Tandy Corporation as the security to be split.

Type the ex-dividend date, which is the actual date the split takes effect. Type: **(1)(0)(2)(0)(8)(1)** and press **(ENTER)**.

Note: All dates entered to Electronic Broker must be six digits long with no slashes or spaces inserted. The program will insert the slashes. For example: June 3, 1981 becomes **(0)(6)(0)(3)(8)(1)**.

Transaction Entry and Positions (continued)

Next, type the account code of the account that owns the stock. Type:

(S)(M)(I)(J)(J) and press **(ENTER)** to identify Mr. Smith as the first account whose Tandy Corp. stock is being SPLIT.

There will be a pause. Each open position for Tandy Corp. stock owned by Mr. Smith will be split two shares for one. You can verify this by retrieving the account at the Retrieve Portfolio Statements Menu.

After a few moments the screen will show: MORE ACCOUNTS (Y/N).

If the **(Y)** is pressed, the system will prompt you for the next account code.

When you are using Electronic Broker with your own accounts, you would press the **(Y)** key here, and enter the remaining accounts needing adjustment. To avoid repetition, you will skip this step at this time.

Press the **(N)** key and then **(F1)** to return to the Main Menu.

The Add Transaction, Change Trade Position, and Delete Trade Position functions will be discussed later.



Posting Journal Entries to Positions

Now that transaction information for certain accounts has been entered, you will post those transactions to positions.

Note: When using Electronic Broker with your own accounts, make backup diskettes of your unposted records before you post. This is a very important step when using diskettes or hard disks to store data. The backup instructions for doing this are in Appendix A of this manual; Hard Disk system users should refer to the Hard Disk Owners Manual.

Press **(P)** at the Main Menu for Post Journal Entries to Positions.

The screen will show:

```
JOURNAL POSTING HAS BEEN REQUESTED  
BACKUP COPIES OF DATA DISK SHOULD BE MADE  
SHOULD PROCESS CONTINUE (Y/N)
```

Because this is a practice exercise, you will not make a backup now. (When working with your own accounts, do not press "Y" unless you have made backups. If you haven't made your backups, press **(N)** and then **(F1)** to exit to TRSDOS. Make backups before continuing.)

Note: Be sure your printer is On-Line before continuing.

Press **(Y)** to post the journal. The screen will show:

```
LOADING JOURNAL POSTING PROGRAM
```

The posting is now in progress. During the Journal Posting process, three things occur:

First, a screen message verifies that the Journal is being processed: POSTING TRANSACTIONS.

Second, as each record from the unposted journal is processed, the Journal record number and the account name is displayed.

Third, a Transaction Posting Liquidation Report will be printed. Like the final corrected copy of the Transaction Posting Journal, this report should be kept in a separate binder. It is part of your audit trail. Because of its importance, this report can only be printed. Each set of transactions which compose a closing transaction will be listed on the Transaction Posting Liquidation Report (shown in Appendix F).

Posting Journal Entries to Positions (continued)

When the Journal Posting program is finished, the system will indicate this, then automatically return to the Main Menu.

Go to the Retrieve Portfolio Statements Menu and then the Long/Short Term Capital Gains Menu to print new reports. Notice the changes in these reports caused by posting the journal.

When you have finished printing your reports, return to the Main Menu.

Special Tax Lot Processing

Offsets

Tax lot numbers, which appear on the left hand side of the Statement of Account with Tax Lot, are assigned to the open tax lots dynamically. New open tax lots are added to the end of the list, and as old open tax lots are closed, the remaining open tax lots are renumbered in sequence.

For example, assume an account holds the open positions as shown in Illustration No. 1.

Illustration No. 1

1	01/10/51	B	1,000	26.0000	26,000.00
2	01/15/51	B	1,000	27.0000	27,000.00
3	01/20/51	B	1,000	28.0000	28,000.00
4	01/25/51	B	1,000	29.0000	29,000.00

If the account then buys two additional tax lots, the new reports are as shown in Illustration No. 2.

Illustration No. 2

1	01/10/51	B	1,000	26.0000	26,000.00
2	01/15/51	B	1,000	27.0000	27,000.00
3	01/20/51	B	1,000	28.0000	28,000.00
4	01/25/51	B	1,000	29.0000	29,000.00
5	02/08/51	B	1,000	30.0000	30,000.00
6	02/14/51	B	1,000	31.0000	31,000.00

Notice that the two new tax lots have been added to the end of the tax lot report and are numbered in the sequence in which they were entered.

There are two methods of recognizing closeouts; first the FIFO, or first in first out method, and second the designated tax lot method.

Unless otherwise designated by the user, the Electronic Broker assumes that closeouts are on a FIFO basis. When closing out trades on a FIFO basis, nothing or a zero should be entered for the tax lot number (LOT NO.).

When designating specific tax lots to be offset by closing trades, a few conventions should be followed.

First, offsets should be designated in descending open tax lot order. In other words, the trade which offsets the highest numbered transaction should be entered first.

Posting Journal Entries to Positions (continued)

Second, when several open and closing trades for the same security held by the same account are being entered, it is usually helpful to enter all the opening trades in one Transaction Posting Journal first. Then enter the closing trades, in descending tax lot order, in a second Transaction Posting Journal.

Remember, as each trade is posted to the account, the open tax lot report is renumbered. Assume that an account is holding the open tax lots in Illustration No. 2. Also assume that lots 3 and 4 are designated for closeout. The trades should be entered so that the closeout against the fourth tax lot is entered first, and the closeout against the third tax lot is entered second. After this is done, the open tax lot report will appear as listed in Illustration No. 3.

Illustration No. 3

1	01/10/51	B	1,000	26.0000	26,000.00
2	01/15/51	B	1,000	27.0000	27,000.00
3	02/08/51	B	1,000	30.0000	30,000.00
4	02/14/51	B	1,000	31.0000	31,000.00

Notice that the original third and fourth lots have been removed. The original fifth and sixth lots have been renumbered three and four.

If this is entered incorrectly, with the offset against the third lot entered first, and the offset against the fourth lot entered second, the new tax lot report would appear erroneously, as shown in Illustration No. 4.

Illustration No. 4

1	01/10/51	B	1,000	26.0000	26,000.00
1	01/15/51	B	1,000	27.0000	27,000.00
1	01/25/51	B	1,000	29.0000	29,000.00
1	02/14/51	B	1,000	31.0000	31,000.00

If a closeout is entered which is larger than the open tax lot designated, the excess is offset on a FIFO basis.

Entering, Changing and Deleting Information

There are basically three categories of information with which you will be working. These are:

Non-financial Account information.
Non-transaction Security information.
Transaction information.

All of this information is entered into the system when you start using Electronic Broker with your own records. However, transaction information is handled a little differently from the other types of information.

Non-financial account information and non-transaction security information can be **changed** whenever necessary. Transaction information is **updated** before posting, and **changed** after posting, but before closeout.

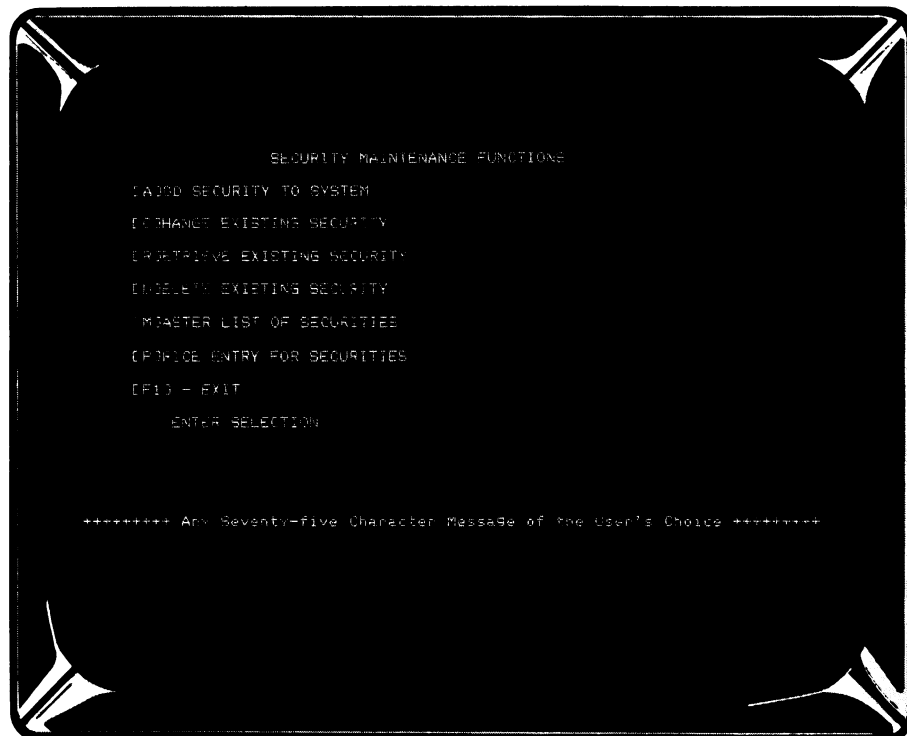
Non-closing transaction information can be **deleted** before or after posting, but closeout records can only be **deleted** after posting. If there are unposted journal transactions for an account or security, they must be posted before you can use **DELETE** to eliminate the non-financial account information or non-transaction security information for that account or security.

Entering Account Information

Press the **(A)** key at the Main Menu for Account Maintenance.

Press the **(A)** key again at the Account Maintenance Menu to select the Add Account to System function.

The screen will show:



Using Account Maintenance Functions

Using Account Codes

The first item of information which must be entered is the Account Code. This code is used to identify each specific account, just as your quote equipment uses a ticker symbol to identify a specific security.

The Account Code for each account is assigned by you. This code can be any combination of one to five characters. You can use the five unique numbers of an account number assigned by your firm, the initials of the client, or anything that will help identify the nature of the account.

The key points to keep in mind are:

- An account code cannot start with a blank space.
- Once you enter an account code for an account, it can not be changed. If an error is made, you must eliminate the account from your files and create a new one with the desired account code.
- Each account code can be used only once. If you try to use the same code for a second account, the program will tell you that it already exists.

The Account Master Listing displays the account codes which have been assigned. This list is your reference for all account codes.

You may find the following suggestions helpful:

If you use letters, use capital letters. If you use digits, make them consistent with your firm's account number system. Keep the codes simple, like ticker symbols.

The sample data base combines the following letters:

The first three letters of the account's last name.

The first letter of the account's first name.

The fifth character is left in reserve to avoid ambiguity with similar names.

For instance, Mr. John J. Smith, Sr. becomes SMIJJ.

Mr. John J. and Mrs. Mary P. Smith becomes SMIJM.

The Smith Oil Corporation becomes SMIO.

Adding a New Account

You are now going to enter a new sample account to the system. The white highlight is prompting you to type in an account code. An account code can include up to five characters. Remember when entering all data that the comma and underline keys should never be used in Electronic Broker.

The client's name is Mr. James J. Jones Sr. His account code will be:

The first three letters of his last name "JON".

The first letter of his first name "J".

The middle initial "J".

Thus, the Account Code is "JONJJ".

Type: . To correct a typing mistake, press the key. Each time you press , the cursor moves back one space and erases the character which had been in that space.

After you type the code, press the key.

The highlight will move down to the NAME entry location.

Using Names

Because names are used for alphabetical sorting in Electronic Broker, you must use a special format when you enter them (to get an alphabetic listing).

The account name format requires you to separate the first and last name with an equal (=) sign. The last name is placed before the equal sign. The first name follows the equal sign. Never use a comma to separate the first and last name.

An account name can include up to thirty characters, including the equal sign. Here are examples of formats used for entering names to the system. When printed by the system, the names are displayed as shown in the second column.

SMITH SR.=MR. JOHN J.	MR. JOHN J. SMITH SR.
SMITH=MR. JOHN & MRS. MARY	MR. JOHN & MRS. MARY SMITH
SMITH OIL CORPORATION=THE	THE SMITH OIL CORPORATION

Type:
 and press .

The next entry is the ADDRESS. This can be any combination of twenty characters (except commas).

Entering, Changing and Deleting Information (continued)

Type: and press .

Type the CITY, which can be any fifteen characters. Type: and press .

State names are always entered as the two letter abbreviations used by the United States Postal System. These can be found in Appendix C.

Type: and press .

The ZIP code can be up to nine digits long. Type: and press .

The PHONE number is entered as ten consecutive numbers which include the area code. You do not insert any dashes or spaces. They will be inserted by the program.

Type: and press .

Note: You must enter all ten numbers for the system to accept it as a valid number.

The ACCT NBR can be up to thirteen characters, which you choose. If the person is a prospect instead of an account, you can type in the word PROSPECT, or any other message you find helpful.

Type: and press .

The screen will show: ALL DATA CORRECT (Y/N).

To correct an entry, you would press the key. The highlight will appear at the account name and allow you to re-enter. To skip a field, press the key. If you press the key, the information in the field will be deleted.

If the account code is wrong, press the key. Then press to add the account again.

Now press the key if all of the data you entered is correct.

The screen will show: MORE ACCOUNTS (Y/N).

Press the key to show that there are no more accounts.

You will return to the Account Maintenance Menu.

Changing Accounts

To correct or change the information for an account after the account is entered, use the Change Existing Account function. The only item that cannot be changed is the account code. If you must change the account code, you have to delete the account from the file, and add it over again.

Press the **(C)** key at the Account Maintenance Menu for Change Existing Account.

Type: **(J)(O)(N)(J)(J)** and press the **(ENTER)** key.

The information on file for Mr. Jones will be displayed. Notice that the highlight is now over the account name.

Any mistakes made when the data was entered for Mr. Jones can be corrected now. When using Change Existing Account, either the **(ENTER)** key or the **(↓)** key can be used to skip fields without deleting the information. To exit without making changes, you would press the **(F2)** key.

For illustration, let us correct the ACCT NBR.

Press **(ENTER)** or the **(↓)** key six times to move the highlight over the ACCT NBR.

Type: **(A)(B)(C)-(1)(2)(3)(9)(7)-(2)(0)(2)** and press **(ENTER)**.

The ACCT NBR changes to show the new entry, and the question: CHANGE (Y/N) appears on the bottom of the screen.

Press the **(Y)** key to store the changed information.

The message: PRESS ENTER TO CONTINUE appears at the bottom of the screen.

Press **(ENTER)** to return to the Account Maintenance Menu.

Deleting Accounts

Press the **(D)** key at the Account Maintenance Menu for Delete Existing Account. This is used to remove an account and all related non-transaction records from the files.

Type: **(S)(M)(I)(P)(S)** and press **(ENTER)**.

Entering, Changing and Deleting Information (continued)

The non-financial information for The Smith Oil Profit Sharing Plan will appear.
The message: DELETE ACCT (Y/N) will appear at the bottom of the screen.

You will not delete this account. If you wanted to delete the account, you would press (Y) . You would get the messages: ACCOUNT DELETED and PRESS ENTER TO CONTINUE.

Press the (N) key to NOT DELETE the record.

The message: PRESS ENTER TO CONTINUE will appear at the bottom of the screen.

Note: You cannot delete an account if there are any unposted journal transactions. If you try to do this, a screen message will appear to remind you to post. You must first post, then come back and delete the account.

Press (ENTER) to return to the Account Maintenance Menu.

Press the (F1) key to return to the Main Menu.

Using Security Maintenance Functions

Entering Security Information

Press the **(S)** key at the Main Menu for the Security Maintenance Menu.

The screen will show:

LOADING SECURITY MAINTENANCE PROGRAM

When the Security Maintenance Menu appears, press the **(A)** key for Add Security to System. You can add up to five hundred securities to Electronic Broker, which will be alphabetically sorted by security description.

The screen will display the first part of the Add Security to System function. There are three screens which are used to add non-transaction information about a security.

The screen will show:

ADD NEW SECURITY

TICKER	DESCRIPTION	TYPE	CLOSING PRICE	DATE PRICED
--------	-------------	------	---------------	-------------

Press F1 for Help/Exit

Using Ticker Symbols

The first item of information for any security is a TICKER symbol. Ticker symbols can include up to five characters, with no leading blanks. The tickers you use should be as standard as possible. When you can, use the symbols right out of your office quote system symbol guide.

For those securities which do not have ticker symbols, you will have to create your own. Keep them simple. You cannot use the same ticker twice. If you create your own tickers, it is a good idea to use all five characters. This will help to avoid chance duplication of securities which become listed in the future.

For options, use the standard industry tickers. Appendix D includes the formula for a listed option ticker symbol.

For those bonds which are listed, use their established symbols. For those which are not listed, the following suggestions will be helpful:

1. The first three characters should be the same as the issuer's ticker or something indicative of the issuer.
2. The fourth character should be a period.
3. The fifth character should be a letter or number to differentiate between bonds from the same issuer.

For example:

New York City	7.625%	06/15/95	becomes NYC.A
New York City	8.500%	02/01/02	becomes NYC.B

For preferred stocks, you might use the same format you used with bonds, but with an equal (=) sign instead of a period. For most preferred stocks, this merely means you will substitute an equal sign where the "Pfd" or "Pr" for preferred would be in the ticker symbol.

To illustrate the three types of securities that Electronic Broker monitors, you will enter a fictional common stock, option, and bond.

Type: **(T)(S)(T)** and press the **(ENTER)** key.

Using Security Descriptions

The highlight will move to the DESCRIPTION field. The description can include up to thirty characters. The Master Listing of Securities is alphabetized by the security description. However, you do not need to use an equal sign when creating security descriptions (as you do when creating account names).

If you want to keep certain types of securities together in the listings, you can use the first few characters of the description to identify the type of the security.

For example, making the first word of a security description: PUT, CALL, MUNI, CORP, CONVT, BN FUND, etc., will cause all of those securities to be listed together on the Security Master Listing and the portfolio statement. To get a feel for this, look at the Security Master Listing in Appendix F.

To have all securities (regardless of type) listed by the issuer's name in alphabetical order, use the issuer's name as the first part of the security description.

Adding Stocks

You can now add a sample stock. At the security description highlight, type:

T E S T C O R P . I N T E R
N A T I O N A L and press the ENTER key.

The next entry is the security type. The Electronic Broker program handles three types of securities:

Stocks	which are identified by typing:	S T
Options	which are identified by typing:	O P
Bonds	which are identified by typing:	B D

TST is the symbol for the common stock of TEST CORP. INTERNATIONAL, which you just entered, so type:

S T and press the ENTER key to identify TST as a stock.

The screen will display the categories of information maintained for the indicated type of security.

Entering, Changing and Deleting Information (continued)

```

      RETRIEVE EXISTING ADDRESS

ACCT. CODE  BR100

NAME      BR. TR. BR. MR. JOHN D.

ADDRESS  132 HOME LANE

CITY     ANY TOWN

STATE    TX

ZIP      78020

PHONE    512-625-6135

ACCT. NR  ABC-12345-100

      Press ☐ to leave routine

      HARD COPY  (Y/N)
  
```

Next, the CLOSING PRICE is entered. There are two places in the Electronic Broker programs where prices can be entered to the files. This is the first place. Prices must be no less than \$0.01000 and no greater than \$9999.50000. Notice that the price can be up to four whole number places and up to five decimals (but no smaller than .01000).

Important Note: If you enter a number which is outside the normal numerical field range, an overflow field (or fields) will appear. An overflow field is indicated by a percent sign (%) in front of a number (where this sign would not normally appear). The number might also be in scientific notation format. In most cases, the number will be mathematically accurate, but it will cause your reports to be thrown out of alignment, making them difficult to read.

If you don't know a price, or you want to skip over it, you can press the **ENTER** key.

Fractions must be entered to the system in decimal amounts.

Type: **(2)(8)(.)(3)(7)(5)** and press the **(ENTER)** key to enter the most recent closing price per share.

Type: **052381** and press **ENTER** to set the DATE PRICED to a date other than today's date.

Entering, Changing and Deleting Information (continued)

Unless you type in a different date, the date priced is automatically set by Electronic Broker to the date entered when you powered up the computer. To use this automatic date entry, you would simply press **(ENTER)**.

For a stock, the next item of data is the annual dividend amount per share in dollars and cents. This can be any number from 00.00001 to 99.99999 . If there is no dividend, or if you are not sure what the dividend is now, the program will allow you to skip over the entry by pressing **(ENTER)**.

Type: **(1)(.)(3)(9)** and press **(ENTER)** to enter the dividend amount.

Next is the EX DATE. EX DATE is short for ex-dividend date. This is the date that determines who gets the dividend. The owner of the stock when the market opened on the morning of the EX DATE is legally entitled to receive the dividend.

Type: **(0)(7)(0)(8)(8)(1)** and press **(ENTER)**.

Last is the dividend PAYMENT DATE. This is the date the company is expected to make the actual dividend disbursement.

Type: **(0)(8)(2)(1)(8)(1)** and press **(ENTER)**.

The question: ALL DATA CORRECT (Y/N) will appear. If you need to make changes, press **(N)** and the prompt will appear at the description. Use the **(↓)** key to pass over correct entries until you get to the information you want to change. If you press **(ENTER)** , the data will be erased. If the wrong ticker symbol was entered, press **(F2)**, which cancels all information on that security, and start over.

If all data was correct, press the **(Y)** key. The question: MORE TICKERS (Y/N) will appear. Press the **(Y)** key again.

The system will prepare to receive another security.

Adding Options

Now you will enter an option. At the ticker symbol highlight, type:

(T)(S)(T)(A)(F) and press the **(ENTER)** key to enter the option ticker symbol.

Type: **(C)(A)(L)(L)()(T)(E)(S)(T)()(C)(O)(R)(P)(.)()**
(I)(N)(T)(L)()(J)(A)(N)()(8)(2)()(3)(0) and press **(ENTER)** to record the security description.

Entering, Changing and Deleting Information (continued)

The word CALL is typed at the beginning of the security description because it was decided to have all calls listed as a group on the Security Master Listing. If you prefer to have the option listed after the underlying security, the security description would be typed as: TEST CORP. INTL CALL JAN 82 30.

Type: and press to identify the security as an option.

Type: and press to enter the last closing price of the option.

Type: and press to set the date priced. (To set today's date here, you would simply press .)

Type: and press to set the STRIKE price of the option.

Type: and press to set the MATURITY or expiration date of the option.

At the screen prompt: STK TICK , type: and press to identify the ticker of the underlying stock of the option.

If there are mistakes, refer to the earlier example to correct your data and record it. Press the key in answer to: ALL DATA CORRECT (Y/N).

Press the key in answer to: MORE TICKERS (Y/N).

Adding Bonds

The last ticker you will enter now is a bond.

Type: **(T)(S)(T)(.)(F)** and press **(ENTER)** to enter the ticker symbol of the bond.

Type: **(C)(O)(R)(P)(.)(T)(E)(S)(T)(.)(C)(O)(R)(P)(.)(I)(N)(T)(L)** and press **(ENTER)** to record the security description.

The word CORP is typed at the beginning of the security description because it has been decided to have all corporate bonds listed as a group on the Security Master Listing. To have the bonds listed after the underlying security, the security description would be typed as: TEST CORP. INTL CORP BOND.

Type: **(B)(D)** and press **(ENTER)** to identify the security as a bond.

Type: **(.)(6)(5)(6)(2)(5)** and press **(ENTER)** to enter the current market price of the bond (the closing price).

Note that the price is entered as dollars and cents of price per \$ 1.00 of face value of bonds.

In this example, the bond has a market price of \$656.25 per \$1,000 face value.

Press **(ENTER)** to have the program set today's date for the price.

Type: **(.)(0)(7)(8)(7)(5)** and press **(ENTER)** to set the COUPON RATE of the bond.

Note that the coupon rate is entered at the cents of interest to be received per year per \$ 1.00 of face value of bond. This can be any decimal number up to five places (it will always be less than 1). Here are some examples:

Coupon Rate Entry to Program

10 %	(.)(1)(0)
14 5/8 %	(.)(1)(4)(6)(2)(5)
6 7/8 %	(.)(0)(6)(8)(7)(5)
8.19 %	(.)(0)(8)(1)(9)

Type: **(0)(6)(0)(1)(0)(2)** (for June 1, 2002) and press **(ENTER)** to set the MATURITY date of the bond.

Type: **(1)(2)(0)(1)(8)(1)** and press **(ENTER)** to set the payment date of the next interest payment.

Entering, Changing and Deleting Information (continued)

If all data is correct, press the **(Y)** key in answer to: ALL DATA CORRECT (Y/N).

If you need to make corrections, press **(N)** and make your corrections as shown earlier. Then answer **(Y)** to: ALL DATA CORRECT (Y/N) to record the bond.

Whenever you enter bonds, remember that the price of a bond must be entered as the dollars and cents of price per \$ 1.00 of face value. If you enter a bond price as dollars and cents per \$ 100.00 of face value (as is the convention in the industry), your portfolios will not be properly priced. This departure from convention allows the programs to handle most types of bonds.

Now press the **(N)** key in answer to: MORE TICKERS (Y/N). You will be returned to the Security Maintenance Menu.

Changing Securities

To correct or change any of the non-transaction information for a security, use the Change Existing Security function.

Press the **(C)** key at the Security Maintenance Menu. The Change Existing Security screen which appears is identical to the Retrieve Existing Security screen.

The ticker will be highlighted in white. You must enter the ticker for the security which you want to change.

Type: **(T)(S)(T)** and press **(ENTER)**.

The information on file for Test Corporation International will be displayed. Notice that the highlight is now over the security description.

If any mistakes were made when the information for Test Corporation International was entered, they can be corrected now. You can press the **(ENTER)** key or the **(↓)** key to bypass the entry fields until you reach the one you want to change. Then type the new information and press **(ENTER)** to record it. To exit the function without making changes, you can press the **(F2)** key.

When you have passed the last entry field, CHANGE (Y/N) will appear at the bottom of the screen.

If your information was already correct, press the **(N)** key. The screen will show: PRESS ENTER TO CONTINUE.

Entering, Changing and Deleting Information (continued)

Press the **(ENTER)** key to return to the Security Maintenance Menu. If you have made corrections, press the **(Y)** key. The program will respond with:
SECURITY CHANGED MORE TICKERS (Y/N).

Press **(N)** to return to the Security Maintenance Menu.

Seleting Securities

To delete the non-transaction information for a security, press the **(D)** key at the Security Maintenance Menu for the Delete Security function. This function should be used only when a security and all associated records are being removed from the system.

Type: **(T)(S)(T)(F)** and press **(ENTER)**.

The information for the Test Corporation International bonds will be displayed. This message will appear:

CROSS POSTING SHOULD BE PERFORMED TO VERIFY NO CURRENT HOLDERS
-PRESS <ENTER>

This warning message is important. The Delete Security option should only be used to delete securities which no longer have positions. Never delete a security which has open positions in the transactions or closeout files.

The program will not allow you to delete a security if there are any unposted journal transactions. You will see a screen reminder message if you try to delete a security without posting it first.

Press **(ENTER)**. The question: DELETE (Y/N) will appear at the bottom of the screen.

Press the **(N)** key to not delete the security.

The message: PRESS ENTER TO CONTINUE will appear.

Press **(ENTER)** to return to the Security Maintenance Menu.

Price Entry for Securities

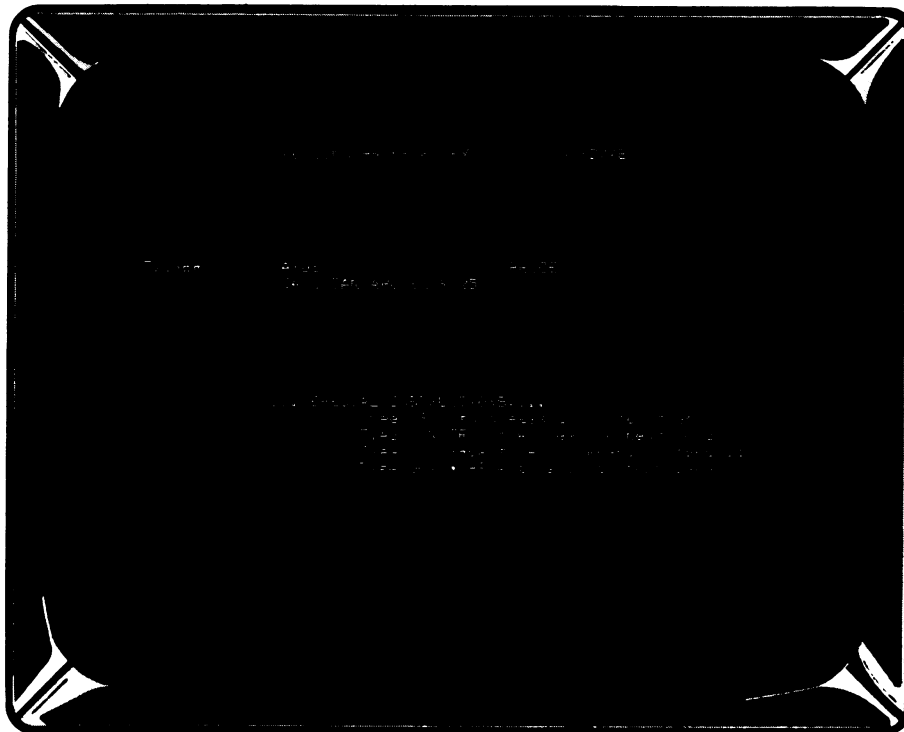
This is the second method you can use to enter price information. Press **(P)** at the Security Maintenance Menu for the Price Entry for Securities function.

The question: DO YOU WANT TO CHANGE DATE FOR PRICING (Y/N) will appear.

To enter a date (other than the date entered at power up), you would press **(Y)**, and then you can enter a new date for pricing when prompted.

We will use today's date. To do this, press **(N)**.

The screen will show:



The securities in the file will be displayed in alphabetical order. Each time you press **(ENTER)**, the next security is displayed.

It is not necessary to enter a price for each security. The program assumes the price is valid as of the date entered to the system during the power up sequence (or the date you entered if you used the change date option).

Entering, Changing and Deleting Information (continued)

The screen shows the following SPECIAL INSTRUCTIONS:

Type F2 to bypass all securities
Type ENTER to proceed to next security
Type UP ARROW to price previous security
Type DOWN ARROW to skip to next security

To find a particular security quickly, press either the **ENTER** key or the **↓** key, and the **REPEAT** key at the same time. The list will continue to scroll until you stop pressing the keys. To recall the previous security in the file, press the **↑** key.

In this function, you can enter a price for any of the securities you choose.

Practice reviewing the list until you feel comfortable. When you have finished, press the **F2** key.

This tells the system to leave the security pricing routine. Before leaving the routine, the system will prompt you to update the three market averages. The current prices can be entered, or they can be skipped over using **ENTER**, the **↓** key, or the **F2** key. The **F2** key will return you directly to the Security Maintenance Menu.

Use the **ENTER** key to skip the prompts. Press **ENTER** three times (to skip each average). After the **ENTER** key is pressed for the last average, the screen will show: PRESS ENTER TO CONTINUE.

Press **ENTER**. The Security Maintenance Menu will appear. Press the **F1** key to return to the Main Menu.

Daily Posting of Your Transactions

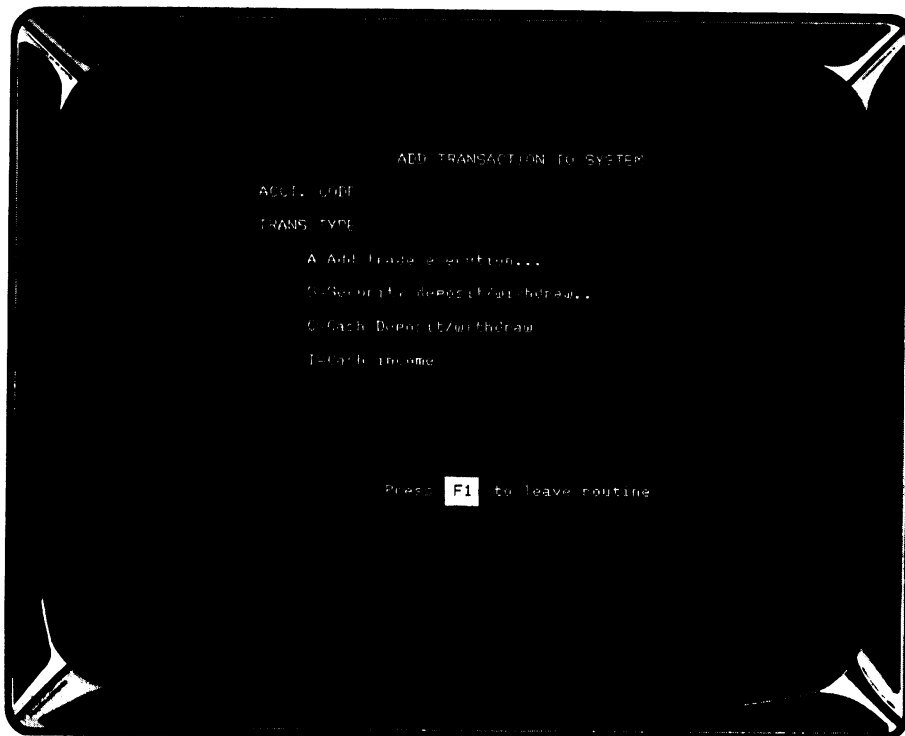
You have worked with the sample data provided by the program. Now you will enter new transaction information and make changes to that data.

Transaction Entry and Positions

Press **T** at the Main Menu for the Transaction Entry and Positions Menu. The message: LOADING TRANSACTION ENTRY PROGRAM will appear.

Press **A** at the Transaction Entry and Positions Menu for the Add Transaction to System function.

The screen will show:



Types of Transactions

There are four basic transactions in the Add Transaction To System function. It is important to understand the purpose of these transaction functions. The four functions are:

Add Trade Execution
Security Deposit/Withdrawal
Cash Deposit/Withdrawal
Cash Income

Security Deposit/Withdrawal and Cash Deposit/Withdrawal should only be used when securities or cash not previously in an account are being deposited, or when securities or cash which are part of the account are being withdrawn.

These transaction functions are used to move capital into or out of an account. The addition or removal of securities or cash will increase or decrease the amount of capital calculated to be in an account.

You indicate a security deposit with a (B) as in bought, long, received, and a withdrawal with an (S) as in sold, short, delivered. Cash deposits are entered as positive amounts and cash withdrawals as negative amounts.

The other two functions deal with transactions related to items already in the account, or added to the account by purchase or sale:

Add Trade Execution is used to enter a security buy or sell.

Cash Income is used to recognize a dividend or interest income receipt or a cash expense.

These two functions recognize transactions which are internal to the account.

In summary:

A = Add Trade Execution is used to enter a buy or sell of a security within an existing account where the transaction affects the capital currently in the account.

S = Security Deposit/Withdrawal is used to recognize a security transaction which involves increasing or decreasing the amount of capital in the account. This choice is most often used when entering new account information.

C = Cash Deposit/Withdrawal is used to add or withdraw new cash capital to or from an account.

Daily Posting of Your Transactions (continued)

I = Cash Income is used to recognize interest and dividend income deposited to the account.

The Jones account will be used to illustrate these functions.

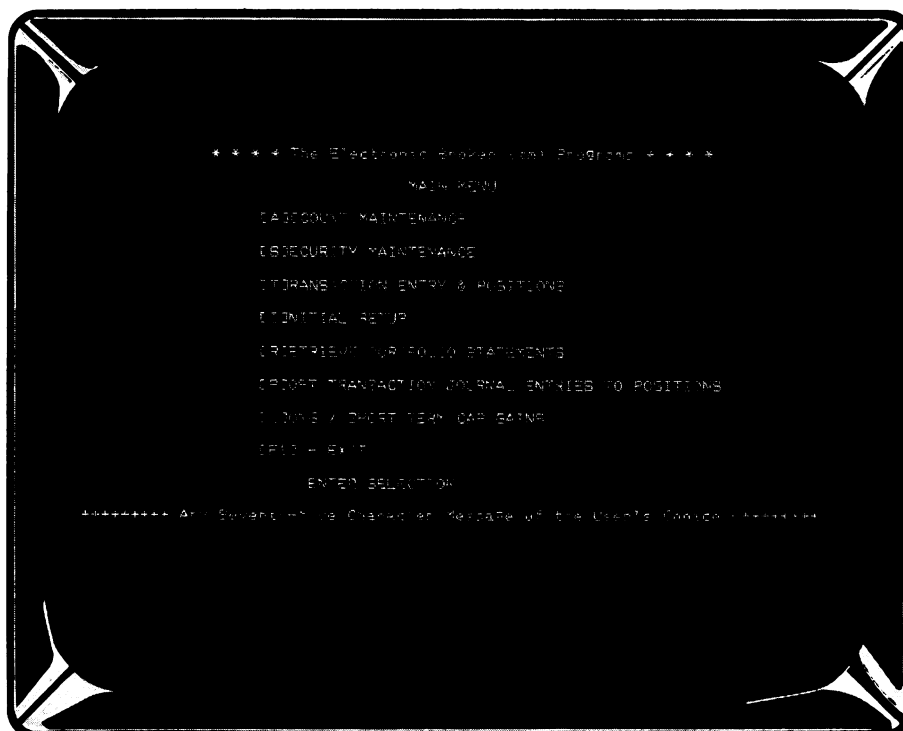
Entering Transactions

Type: **J O N J J** and press **ENTER** to indicate that you will be entering a transaction in the JONES account.

First, you must enter the positions Jones owns at the point his account is entered. (Remember that at this point, he has no financial or transaction information on file.) Jones owns several securities that are already on deposit with your firm.

Press the **S** key and **ENTER** to indicate that you want to deposit a security to the account. This is a deposit because it represents new capital to the account.

The screen will display the Security Deposit/Withdrawal Entry screen:



Daily Posting of Your Transactions (continued)

The highlight is on the ticker. The account code (which had been entered) is still displayed.

To get the information you now need to enter for the Jones account, you could use your account posting records, or your monthly account statements. The more accurate, detailed, and complete the information you supply, the more profitable and usable the system will be for you.

If no other source is available, use the information which is on your firm's customer account statement. The statement will only supply the net positions without tax lot detail. As you process ongoing transactions, Electronic Broker will cause all of your customer data to become more efficient and accurate.

Let us assume that you are able to determine the following data on the positions held by Mr. Jones:

TICKER	TDE	B/S	QTY	PRICE/ UNIT	TRAN EXP.	NET MONIES
TST	01/23/78	B	1000	10.45	?	10450
TST	06/15/75	B	500	32.25	?	16375
TST	11/12/78	B	200	48.625	?	9921.5
TST	10/03/80	B	300	37.000	?	11247.6
TST	06/05/81	B	500	28.25	?	14356.25
TST.F	06/15/75	B	15000	1.01375	?	15206.25
TST.F	06/25/80	B	10000	0.62500	?	6250
TST.F	05/20/81	B	5000	0.55375	?	2768.75
TSTAF	04/15/81	B	500	1.9375	50.00	?
TSTAF	05/20/81	B	400	2.5000	76.5	?
MMF	05/29/81	B	631	1.00	00.00	631
CASH CREDIT BALANCE						837.32

There are several things to note in the above table:

All bond figures are based on \$1.00 of face value of the bonds. Price is noted as dollars and cents per \$1.00 of bond face value and quantity is noted as number of one dollar units. Also note that accrued interest is not part of the net monies in a bond transaction.

For options, all quantities are based on the number of underlying shares, rather than contracts. Five option contracts to buy 100 shares is entered as a quantity of 500 options, not 5. The price is per option, not per contract.

The term "net monies" is the total cost or proceeds for a transaction, including all known costs with the exception of accrued interest.

Daily Posting of Your Transactions (continued)

To enter transactions to the system, any two of the three money figures (price/unit, tran exp., or net monies) must be entered. If all three are known, the system will calculate net money and compare the net money with the entered figure to verify its accuracy. If not the same, the error message INVALID AMOUNT will appear. If identical, net price per unit will then be calculated, and will appear in the PRICE entry on the screen.

To enter the first transaction:

Type in the ticker: **(T)(S)(T)** and press **(ENTER)**.

Type: **(0)(1)(2)(3)(7)(8)** and press **(ENTER)** for the trade date.

Type: **(B)** and press **(ENTER)** to designate this as a security deposit.

The next entry is the quantity. Enter this incorrectly. You will be shown how to correct this later using the Update Journal function.

Type: **(1)(0)(0)(0)(0)** and press the **(ENTER)** key to enter the quantity.

Type: **(1)(0)(.)(4)(5)** and press the **(ENTER)** key to enter the price per unit.

Press **(ENTER)** to indicate that you do not know the amount for the TRANS EXP.

Type: **(1)(0)(4)(5)(0)** and press **(ENTER)** to enter the net money.

Note that after you entered Net Monies, the unit price changed. The Electronic Broker saves the price per unit as the net unit price adjusted for transaction costs. Profit and loss statements reflect all transactions costs.

Transaction costs can include commissions, transfer taxes, SEC fees, and miscellaneous charges your firm may have. Transaction expenses do not include accrued interest.

Note: At any time during transaction entry or update, you may use the **(↑)** to correct a mistake. However, if you must correct any of the three money fields, enter the corrections in sequential order.

Next several messages appear on the bottom of the screen. The first is: ALL DATA CORRECT (Y/N).

If you press **(N)**, the entry is not stored and the highlight begins again at the account code.

Daily Posting of Your Transactions (continued)

Press the key.

The next question displayed is: MORE TRANSACTIONS (Y/N).

Press the key to show that more transactions will be entered.

The question: SAME SECURITY (Y/N) will appear.

Press the key to show that the same security will be entered again. The highlight will move to the trade date.

Now enter all of the transactions in the table showing the positions held by Mr. Jones. If you make a mistake, don't worry. The system allows you to correct a trade before it is actually posted to your files. If you need to get out of a routine and return to the Transactions Entry and Positions Menu, press the key.

First, enter the transactions that concern the TST security. There are four additional TST trades to be entered. Each time you finish entering a TST trade, answer the question: SAME SECURITY (Y/N) by pressing .

When you are finished entering the five TST stock positions, be sure to answer the question: SAME SECURITY (Y/N) with .

The question: SAME ACCOUNT (Y/N) will appear.

Press . You will be prompted for a new ticker.

Now you can enter the TST.F transactions shown.

Again, every time you enter a different TST.F transaction, the question: SAME SECURITY (Y/N) will appear.

Press to answer this question until you enter the last TST.F trade. Then, press to the question: SAME SECURITY (Y/N).

The question: SAME ACCOUNT (Y/N) will appear again. Press .

Now enter the TSTAF transactions, following the same steps as above. At the last TSTAF entry, press at the question: SAME SECURITY (Y/N).

Press at the question: SAME ACCOUNT (Y/N).

Now enter the MMF transaction. This is a special transaction, used to track money funds.

Daily Posting of Your Transactions (continued)

To track money funds in your own records, establish a security in your security library for the money fund. Then treat buys and sells of the fund as you would treat a stock.

Press **(Y)** to answer: ALL DATA CORRECT (Y/N).

The question: MORE TRANSACTIONS (Y/N) will appear.

Press **(N)**. This will return you to the Transaction Entry and Positions Menu.

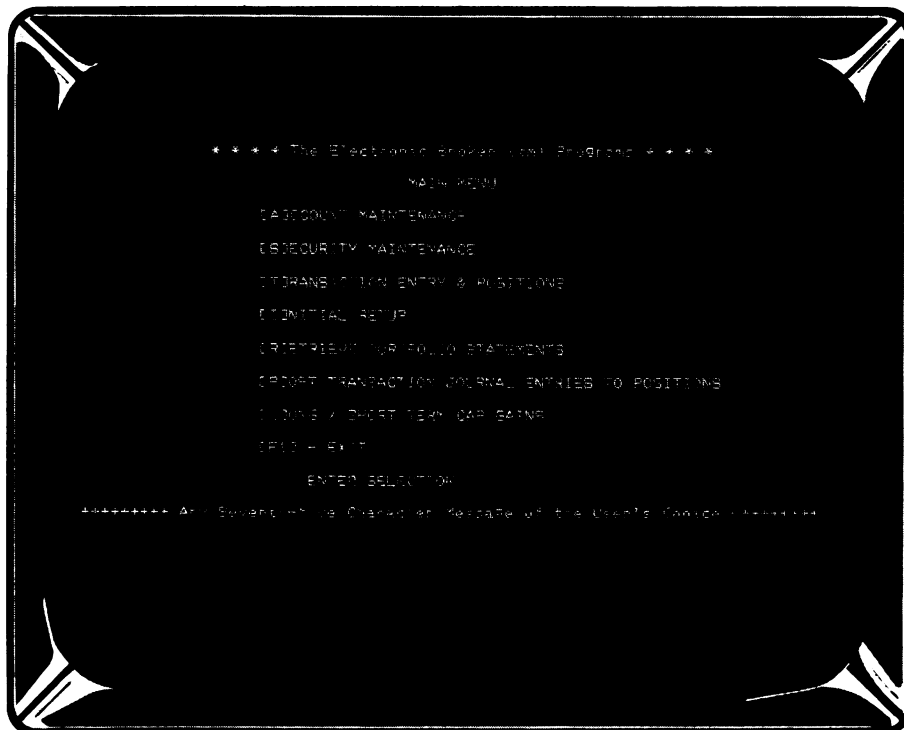
You have one more entry to make for Mr. Jones's account. You must deposit the cash credit balance which he has in the account.

At the Transaction Entry Menu, press **(A)** for Add Transaction.

Type: **(J)(O)(N)(J)(J)** and press **(ENTER)** when the highlight for the account code appears.

Type: **(C)** and press **(ENTER)** to select the Cash Deposit/Withdrawal function.

The screen will show:



Daily Posting of Your Transactions (continued)

Type: and press to enter the amount of the cash deposit.

The question: ALL DATA CORRECT (Y/N) will appear on the bottom of the screen.

If you press , you will return to the deposit amount area, so that you can correct the dollar amount entered. After correcting the entry the ALL DATA CORRECT (Y/N) prompt will appear again.

Press . The deposit will be stored on the unposted journal and you will return to the Transaction Entry and Positions Menu.

Print Transaction Posting Journal

Before going further, you should check the Transaction Posting Journal for accuracy.

At the Transaction Entry and Positions Menu, press the key for Print Transaction Posting Journal.

This will produce a copy of the Transaction Posting Journal (before posting). Inspect the journal closely for errors. If a mistake is found, circle the error so you can correct it before posting the journal.

Note that the first transaction is incorrect. This transaction contains the incorrect quantity that you entered earlier. It should be 1000 shares instead of 10000 shares.

Update Transaction Posting Journal

Press at the Transaction Entry and Positions Menu for Update Transaction Posting Journal. The Update function is used to correct transactions before they are posted. After transactions are posted, you must use the Change Trade Position function to correct mistakes. This will be covered shortly.

Type: and press to select the record which is to be corrected.

This is the record number from the first column of the printed Transaction Posting Journal.

The transaction will be displayed. The question: UPDATE RECORD (Y/N) will appear.

Daily Posting of Your Transactions (continued)

Press **(Y)** to update the transaction. The question: CHANGE OR DELETE (C/D) will appear.

Press **(C)** to change the transaction (do not delete).

Press **(ENTER)** four times to place the highlight over the quantity information.

Type: **(1)(0)(0)(0)** and press **(ENTER)**.

Type: **(1)(0)(.)(4)(5)** and press **(ENTER)** to correct the calculated price.

Type: **(0)** and press **(ENTER)** to recalculate the TRANS EXP.

Type: **(1)(0)(4)(5)(0)** and press **(ENTER)** to correct the NET MONEY.

The TRANS EXP and NET PRICE will be recalculated.

The question: CHANGE (Y/N) will appear at the bottom of the screen.

If you press **(N)**, the original transaction will be left in the unposted journal.

Press **(Y)** to replace the previous information in the unposted journal. The message:

TRADE CHANGED PRESS ENTER TO CONTINUE

will appear at the bottom of the screen.

Press **(ENTER)** to return to the Transaction Entry and Positions Menu.

Now repeat the process to correct any mistakes until the unposted journal is fully corrected.

Note: When any part of the quantity or price is changed, the net money must be reentered to arrive at a correct figure.

Before leaving the Transaction Entry and Positions Menu, it is important to make a final permanent copy of the Posting Journal before it is posted to the files. This paper copy should be stored in a binder and never discarded. It is one of two parts in your audit trail, along with the Transaction Posting Liquidation Report.

Press the **(P)** key to print the final corrected copy of the unposted Transaction Posting Journal.

Press the **(F1)** key to return to the Main Menu.

Daily Posting of Your Transactions (continued)

When you are working with your own accounts, this is the time to make backups of all data diskettes. These are the formatted diskettes on which your records will be stored. If you have data stored on your Electronic Broker system diskette (which must always be in Drive 0), make a backup of it, too. You do not need to make backups for the sample data, but go ahead and read the following backup instructions without executing them. Then you will be familiar with the instructions when you need them.

To make backups before final posting:

Press the **(F 1)** key to leave the Main Menu.

When TRSDOS READY appears, follow the procedure for making diskette backups (as described in Appendix A). If you have a hard disk system, use the Save and Restore instructions in your Hard Disk Owner's Manual to make backups.

To return to Electronic Broker after the backup process, insert your program and data diskettes back into the proper drives.

At TRSDOS READY, type: **(E)(B)** and press **(ENTER)** to return to the Main Menu.

Daily Posting of Your Transactions (continued)

Posting Transactions to Positions

The Transaction Posting Journal should be accurate now. Backup copies of the diskettes should have been made of your own accounts. The next step is to post the unposted records to the program files and to the appropriate account positions.

At the Main Menu, press **(P)** for Post Journal Entries to Positions. This program produces the Transaction Posting Liquidation Report.

The screen will show:

JOURNAL POSTING HAS BEEN REQUESTED
BACKUP COPIES OF DATA DISK SHOULD BE MADE
SHOULD PROCESS CONTINUE (Y/N)

Press **(Y)** to continue. The screen will show: LOADING JOURNAL POSTING PROGRAM. After a few moments, the message: POSTING TRANSACTIONS will appear.

As each individual record is posted, this message will appear:

PROCESSING RECORD # record number account name

Transaction Posting Liquidation Report

The Transaction Posting Liquidation Report identifies all transactions that remove a net open position from the open trade file, and add a closed position to the closeout file. This report should be saved with its related posting journal.

When the posting program is finished, the screen will show:

POSTING PROCESS COMPLETED
RETURNING TO MAIN MENU

Take a look at Mr. Jones's account.

Press **(R)** at the Main Menu for Retrieve Portfolio Statements.

The screen will show:

LOADING PORTFOLIO STATEMENT PROGRAM

When the Retrieve Portfolio Statements Menu appears, press **(S)** for Selected Account Posting.

Daily Posting of Your Transactions (continued)

To retrieve the information for Mr. Jones's account, type: **J O N J J** and press **ENTER**.

Press **P** to print the information.

Press **Y** to have the open tax lots printed.

Now you will create the summary statement for the same account.

Press **S** again at the Retrieve Portfolio Statements Menu for Selected Account Posting.

Type: **J O N J J** and press **ENTER**.

Press **P** to print the account.

Press **N** to skip printing the tax lots.

Press **S** to sort the positions by alphabetized ticker.

Press **N** to skip printing the performance comparison ratios.

Review both statements. Compare the information on the tax lot statement to the information in the table that you used to enter the transactions. It should be identical, except that the price is adjusted for transaction expense.

The summary statement will show the same data you entered for the account as transactions.

Press the **F1** key to return to the Main Menu.

Changing a Transaction After Posting

To change an erroneous transaction which you have posted, use the Change Trade Position function at the Transaction Entry and Positions Menu.

Note: Whenever you use Change Trade Position or Delete Trade Position (see next section) to correct your posted records, it is a good idea to update your paper records by printing new account statements for those accounts that changed. If you use the traditional accounting practice of making offsetting entries to correct erroneous transactions, you will not need to do this, as your corrected records will show the offsetting entries.

Change Trade Position is used to change a transaction only after it has been posted to the files and before it has been involved in a closing transaction.

Press **(T)** at the Main Menu to get to the Transaction Entry and Positions Menu.

If you press **(C)** at the Transaction Entry and Positions Menu, you will be asked to enter the account code of the account with the error.

Then you will be prompted to enter the ticker of the transaction which is to be changed.

Last, the LOT number of the transaction must be identified. This is the number in the left hand column of the tax lot portfolio report.

Note: The system automatically changes this number as open lots are added or removed. You must use an up-to-date tax lot report to accurately select a transaction change.

The transaction as it appears in the records will be displayed. You press **(ENTER)** to pass the correct entries until you reach the entry you wish to change.

After the last entry location has been passed, the question: CHANGE (Y/N) will appear. Pressing **(Y)** will store the corrections. Then press **(ENTER)**. Pressing **(N)** then **(ENTER)** will return you to the Transaction Entry and Positions Menu without changing the information.

It is also possible to change a posted transaction involving cash and not securities. For instance, if an error was made when a Cash Income or Cash Deposit/Withdrawal was entered in the system, and that record was posted, it would need to be corrected. However, both the Change Trade Position and the Delete Trade Position function require the user to input a ticker symbol. In this

Daily Posting of Your Transactions (continued)

case, you will need to enter an offsetting transaction at the Add Transaction Menu. For example:

A \$5000 Cash Deposit was entered and posted. Later review of the records reveals that the amount should have been entered as \$500. You should add and Post an offsetting Cash Withdrawal of \$4500, making appropriate notes where required concerning the reason for the withdrawal. This leaves the account with the proper balance of \$500.

If the entire \$5000 was in error, an offsetting Cash Withdrawal for \$5000 would be necessary to correct the account.

Deleting a Transaction After Posting

The Delete Trade Position function on the Transaction Entry and Positions Menu works identically to the Change function except that it removes all the information for the transaction from the posted records instead of prompting you to change individual fields.

Again, you must specify the account code of the erroneous account, the ticker of the transaction you wish to delete, and the LOT number of the erroneous transaction (the number in the left hand column of the tax lot portfolio report).

The program will ask: DELETE (Y/N) so that you can either delete the information, or return to the Transaction Entry and Positions Menu without deleting it.

When using Delete Trade Position, update your paper records by printing new account statements for any accounts affected.

If you have not returned to the Main Menu, do so now.

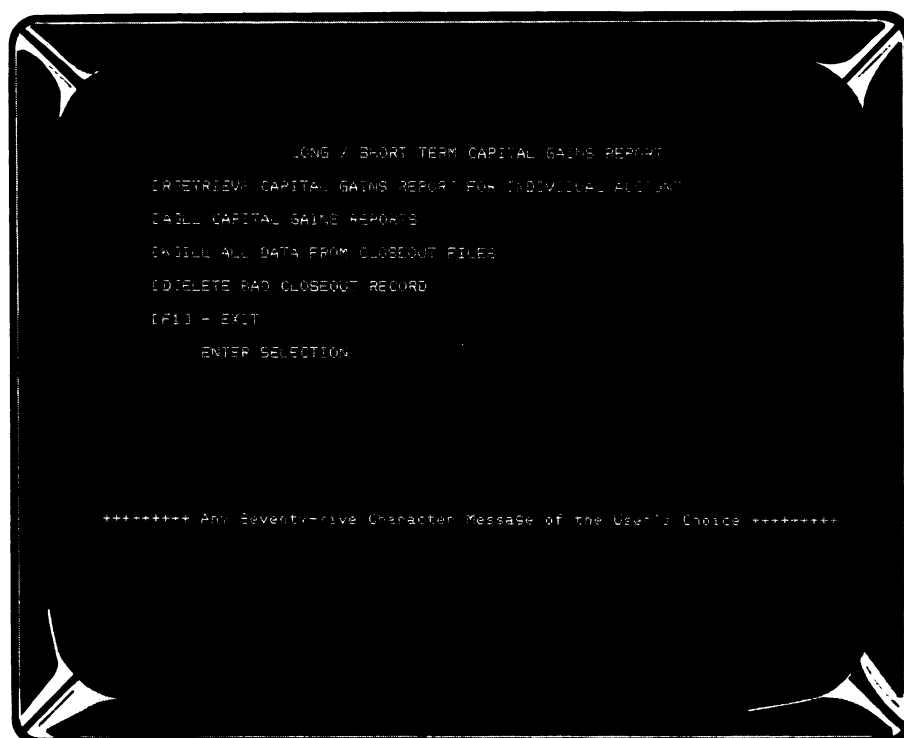
Using Initial Setup

This function should not be used until you are satisfied with your understanding of Electronic Broker. It will completely clear the files so that you can enter your own accounts, securities, and transactions.

At the Main Menu, press **I** for Initial Setup. The message:

LOADING INITIAL SETUP PROGRAM

will appear on the screen. Then the screen will show:



There are three functions on the Initial Setup Menu. These are:

Initial Setup—Lets you totally clear the Electronic Broker files, specify which drives you will use, and enter a user name to be displayed on menus and reports.

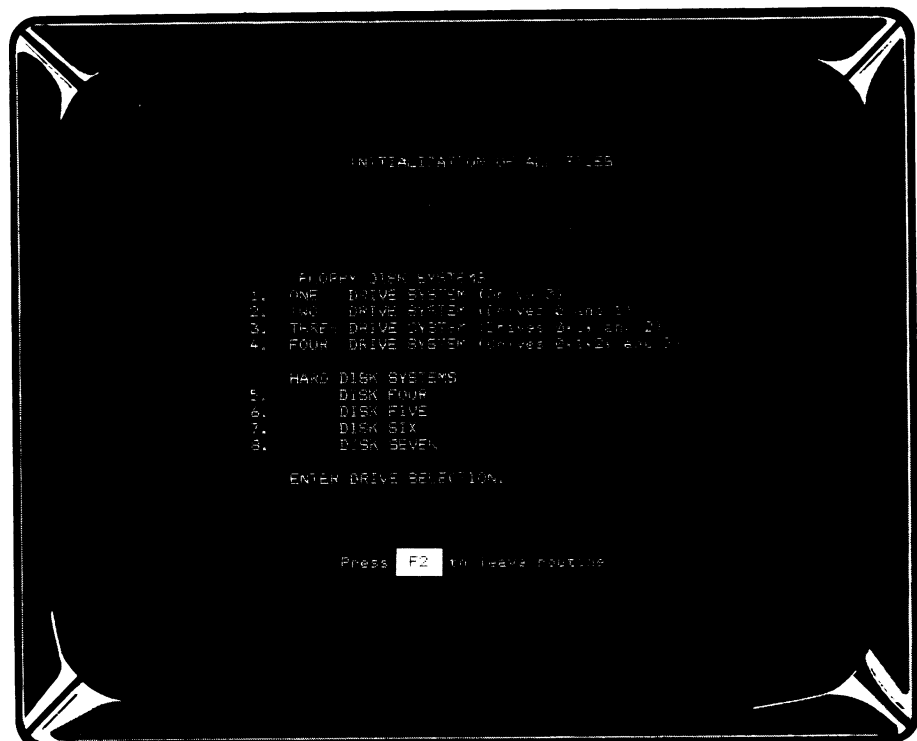
Change Configuration—Lets you change the user name displayed, increase the number of disk drives you are using, or change disk drives for Hard Disk users.

Recovery Procedure—Only use this feature to delete all information from the files except account and security libraries.

Initial Setup (continued)

If you are ready to set up your own data files, press **(I)** at the Initial Setup Menu to select the Initial Setup function.

The screen will show:



If you want to exit the Initial Setup function without clearing any files, press the **(F2)** key to return to the Initial Setup Menu. Then press **(F1)** to return to the Main Menu.

To use the Initial Setup function, refer to the appropriate instructions for floppy diskette and hard disk users which follow.

Floppy Diskette Instructions

If you are using floppy diskettes, you can only **add** disk drives to the system. You may not reduce the number of disk drives you are using after you have added them to your system.

If you are using more than one drive, you must insert a formatted diskette in the drive or drives you will be using. The program will tell you when to do this. To format your data diskettes, refer to the Format instructions in Appendix A. Then insert a formatted diskette(s) at the appropriate screen prompt.

The Electronic Broker program must always be in Drive 0 in order to run the program. If you have only one drive, type **(1)** and press **(ENTER)**. Your file data will go on Drive 0 with your Electronic Broker program.

If you want to use two drives, your file data will go on the formatted diskette in the first external disk drive. Type: **(2)** and press **(ENTER)**.

If you want to use three drives, your file data will go on the formatted diskettes in the first and second external disk drives. Type: **(3)** and press **(ENTER)**.

If you want to use four drives, your file data will go on the formatted diskettes in the first, second, and third external disk drives. Type: **(4)** and press **(ENTER)**.

Now enter the name of the user of the system, as explained on page 82.

Hard Disk Instructions

Pick the selection number (5-8) which shows the hard disk you wish to use. When using Electronic Broker on Hard Disk, all your files will go on one hard disk. You can use whichever hard disk drive you wish, but you can't expand to include other drives.

Type your number selection and press **ENTER**.

When you are finished entering your disk system information, the screen will show:

ENTER NAME OF USER THAT WILL UTILIZE SYSTEM

followed by a white bar across the screen. Here you can enter up to seventy-five characters, upper or lowercase. Do not use the comma or underline keys.

Enter the name that you want displayed on the menus and reports. It will be displayed across the bottom of all the menus and reports, centered automatically by the program.

The question: IS THIS CORRECT (Y/N) will appear.

Press **Y**.

The screen will show:

INITIALIZATION OF ALL DATA FILES

With your formatted diskette(s), if required, or hard disk in the drive(s) you specified, press **ENTER**. The computer will clear all data in the files, and restart the records.

After this has been completed, you will be prompted for the S & P 500, the Dow Indu., and the NYSE Composite. The year end values for these indices for 1980 and 1981 are in Appendix B.

Important Note: These figures are used to calculate the performance of the market on a year to date basis, and must be entered at this point. If this step is skipped, you must go back to Initial Setup and start over before entering any of your firm's data.

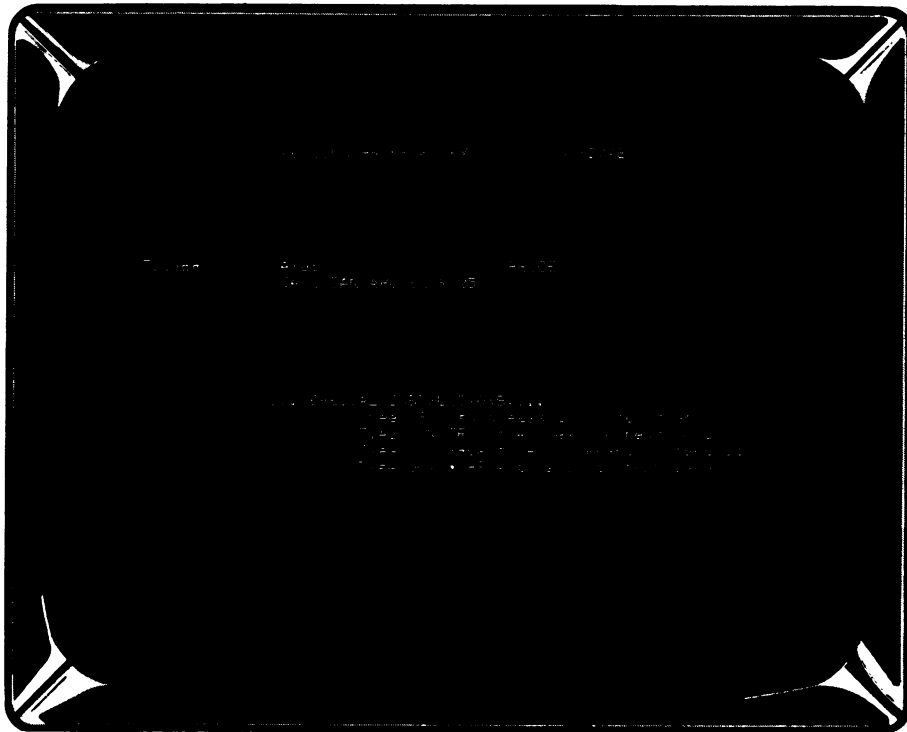
Change Configuration

Change Configuration is used to change the name that you want displayed, or to increase the number of disk drives which you want to use for data storage (in a Floppy Diskette system). If you are using a Hard Disk system, you can change from the disk drive you are using to another disk drive.

Note: If you wish to change from one Hard Disk to another, make sure that all Electronic Broker programs and files are on the new disk. Read Appendix G, and refer to the MOVE instructions in your Model II Owner's Manual or Hard Disk Owner's Manual to move files. You will MOVE all Electronic Broker files to the other Hard Disk, then Change Configuration, indicating the drive number of the Hard Disk you will now be using.

Press **(C)** at the Initial Setup Menu for the Change Configuration function.

The screen that appears is identical to the Initial Setup function screen.



If you are using a floppy diskette system, you can select one of the numbers between 1 and 4. If you are using a hard disk system, your number selections range from 5 to 8.

Initial Setup (continued)

To add more disk drives to your floppy diskette system, select the number which shows the total number of drives you will use. If you are not changing the number of drives, enter the selection which contains the number of drives you now use. Then press the **ENTER** key to continue.

The screen will show:

ENTER NAME OF USER THAT WILL UTILIZE SYSTEM

If you do not want to change the user name, press **ENTER**. Otherwise, enter the new name or message that you want displayed. The question: IS THIS CORRECT (Y/N) will appear.

Check your entry for accuracy, and then press **Y**. If you have not changed the disk drive number, the new name will be stored, and the Initial Setup Menu will return.

If your disk drives have been changed, the screen will show:

INITIATING ACTION TO MOVE DATA FILES

WHEN FORMATTED DISK IS INSERTED IN DRIVE 1, PRESS ENTER.

You follow the screen instructions and then press **ENTER** to move your data files to the disk drive location you identified. If you have not inserted a formatted diskette, or if the hard disk is not ready, you will get an error message. Insert a formatted diskette, or check your hard disk, and try again.

Recovery

You will not use Recovery Procedure on the Initial Setup Menu now. It is used to remove all information from the files except for the non-financial account information and the non-transaction security information. This function should be used only to eliminate all information from the files with the exception of the account and security libraries.

Killing and Deleting Closeouts

The Long/Short Term Capital Gains Report Menu has two functions that we have not discussed yet. Both of these functions are designed to handle closeouts.

Kill All Data From Closeout Files

To use the Kill All Data From Closeout Files function, you would press **(K)** at the Long/Short Term Capital Gains Report Menu. It is used to remove all closed transactions from the closeouts library.

If you press **(K)** , the screen will show:

ALL CLOSEOUTS ARE TO BE REMOVED
SHOULD PROCESSING CONTINUE (Y/N)

If you press **(Y)** , then all closeouts will be removed from your files. If you press **(N)**, you will be returned to the Long/Short Term Capital Gains Report Menu.

Do not use Kill All Data From Closeout Files unless you want to destroy all the closed transaction records in your files. Before using this function, make backups of your diskettes for archive storage and save them for future reference.

Kill All Data From Closeout Files is usually done at year end. By making and filing a Year End Backup, you will have the files to reconstruct a capital gains and loss report for prior years.

After you have deleted closeouts, you should check the accounts involved to verify the accuracy of the remaining data.

Be very careful when you adjust your account records. If cash previously deposited in the account or securities paid for prior to this transaction are (erroneously) involved in a closing transaction, and the bad closeout record is deleted, review the portfolio which shows the account's pre-closeout status. Review and adjust your records if necessary to show the correct amount of cash and securities in the account prior to the closeout, then reenter the closing transactions.

Delete Bad Closeout Record

You can use the Delete Bad Closeout Record function on the Long/Short Term Capital Gains Report Menu to remove an incorrectly entered and posted transaction from the closeout records.

Killing and Deleting Closeouts (continued)

To use the Delete Bad Closeout Record function, you would press **(D)** at the Long/Short Term Capital Gains Report Menu. Then, you must enter:

1. The account code of the account which contains the incorrect closeout.
2. The record number of the closeout which is incorrect and must be deleted.
This can be found on the Capital Gains Report screen display.

The screen will then show: DELETE (Y/N).

You would press **(Y)** to delete the bad closeout. If you press **(N)**, the closeout will not be deleted, and you will return to the Long/Short Term Capital Gains Report Menu.

After you delete a bad closeout, the transactions that made up that closeout have to be reentered to the system to correct your position.

For example, if you bought 1000 shares of Tandy at 25 a share and then entered a sell of 100 shares of Tandy at 30, your various reports would show an open tax lot of 900 shares out of the original 1000 shares purchased, and a closeout of 100 shares purchased and sold.

If you then found out that the sale of 100 shares was incorrect, you would delete the bad closeout of 100. You would then need to reenter 100 shares as a purchase in order to reestablish the original 1000 shares of stock.

Follow the instructions in the **Kill All Data From Closeout Files** section for information on adjusting your account records after deleting closeouts.

Format and Backup Instructions

(Hard Disk Users—refer to the SAVE and RESTORE instructions in your Hard Disk Owner's Manual.)

A Backup consists of two processes:

1. Format (or prepare) the diskette for information storage.
2. Backup (copy) all the information from the original diskette to the new, formatted diskette.

TRSDOS READY should be showing on the screen and the Electronic Broker Program diskette should be in Drive 0 (the disk drive that is built into the Model II).

The following instructions are for users with more than one disk drive. To make a Backup using one drive, skip to the single-drive instructions.

The screen will show:

You type:

TRSDOS READY

F O R M A T and press **ENTER**.

TRS-80 Model II Diskette Formatter
Vers 2.0

Format WHICH Drive?

1 and press **ENTER**.

Mount Diskette for Formatting on
Drive 1 Continue? (Y/Q)

Place a blank diskette (or a diskette you wish to reuse) in Drive 1. The notch in the diskette must be covered by a piece of gummed foil tape. Type **Y** and press **ENTER**.

If you are using an old diskette, the screen will show: Diskette CONTAINS DATA; Format OVER it? (Y/Q).

To keep the data contained on the diskette, enter **Q** and start over, using another diskette. Otherwise, type **Y**.

The computer will begin formatting the diskette in Drive 1. This process takes a few minutes. During the formatting procedure, the computer will format and verify each track and sector on the diskette, displaying the information on the screen.

Format and Backup Instructions (continued)

When the process is finished, the screen should show:

00 Flawed tracks
System tracks now being written to the diskette
TRSDOS READY

If there are any flawed tracks, you must erase the diskette and try again, or use a new blank diskette. Do not use a diskette that has flawed tracks. After the diskette is formatted, TRSDOS READY will reappear.

If you just need a new, formatted diskette to store data, you are finished at this point. To format more diskettes for storing information, you can place another diskette in Drive 1. Close the drive door, type **(A)(G)(A)(I)(N)**, and press **(ENTER)**. The computer will automatically reinitiate the format procedure.

To make a Backup of a Program diskette or existing data diskettes, leave the diskettes in the drives and continue.

The screen will show:

TRSDOS READY

You type:

(B)(A)(C)(K)(U)(P) and press
(ENTER)

TRS-80 Model II Backup Utility
Vers 2.0

Source drive number? (0-3)

(0) and press **(ENTER)**

Destination drive number? (0-3)

(1) and press **(ENTER)**

Source Diskette Ready? (Y/Q)

(Y) and press **(ENTER)**

The Source diskette is your Electronic Broker Program diskette. The Destination diskette is the one you just formatted.

The screen will show:

Reading Boot Track
SYSTEM/SYS
DESTINATION Disk Ready? (Y/Q)

Type: **(Y)** and press **(ENTER)**. The screen will show: Change Diskette Information? Type: **(N)** and press **(ENTER)**.

Format and Backup Instructions (continued)

The computer will begin taking information from the Source diskette and copying it onto the Destination diskette in Drive 1. The screen will show the names of the programs that are being copied from one diskette to the other. When the Backup is finished, the screen will show:

31 Files Examined, 31 Files Copied
00 Files Deleted, 00 Files Defective

Writing DIRECTORY Track

Backup Complete
TRSDOS READY

Remove the original diskette from Drive 0, place it in its protective sleeve, and store it in a safe place. Remove your backup copy from Drive 1, and label it as your Working Copy of Electronic Broker. Use this Working Copy to run the program.

Backup Instructions for a Single Drive System

The screen will show:

TRSDOS READY

TRS-80 Model II Disk Formatter

Vers 2.0

Format WHICH Drive?

Mount Diskette for Formatting on
Drive 0 Continue? (Y/Q)

You type:

F O R M A T and press **ENTER**.

0 and press **ENTER**

Remove the Program diskette and place a blank diskette (or a diskette you wish to reuse) in Drive 0. The notch in the diskette must be covered by a piece of gummed foil tape. Type **Y** and press **ENTER**.

If you are reusing an old diskette, the screen will show: Diskette CONTAINS DATA; Format OVER it? (Y/Q).

To keep the data contained on the diskette, enter **Q** and start over, with another diskette. Otherwise, enter **Y**.

The computer will format the diskette, verifying each track and sector and displaying the information on the screen.

When the format process is completed, the screen should show:

00 Flawed Tracks
System tracks now being written to the diskette
Insert SYSTEM diskette Press ANY key to continue

If there are any flawed tracks, the diskette must not be used. You can try erasing it and reformatting it. Remove the newly formatted diskette from Drive 0 and replace it with the Program diskette. Press any key, and TRSDOS READY will appear on the screen.

Now you can copy all the information from the Program diskette to the formatted blank diskette.

Format and Backup Instructions (continued)

The screen will show:

TRSDOS READY

You type:

B A C K U P and press
ENTER

TRS-80 Model II Backup Utility

Vers 2.0 Source drive number? (0-3) **0** and press **ENTER**

Destination drive number (0-3) **0** and press **ENTER**

Source Diskette Ready? (Y/Q) **Y** and press **ENTER**

The Source diskette is your Program diskette. The Destination diskette is the one you just formatted.

The screen will show:

Reading Boot Track
SYSTEM/SYS
Insert Destination diskette—press ANY key to continue

The word DESTINATION will be blinking. Remove the Program diskette from Drive 0, replace it with the formatted diskette, and press any key.

The screen will show:

Change Diskette Information?

Type **N** and press **ENTER**.

The screen will tell you to insert the Source diskette in Drive 0. You will alternate between placing the Source diskette and the Destination diskette in Drive 0 several times. As you do this, the screen will show the names of the programs that are being copied from one diskette to the other. The computer is taking some of the information from the Source diskette and holding it until you place the Destination diskette in Drive 0.

If you get the diskettes switched around and try to place the wrong one in Drive 0, the screen will show:

WRONG diskette—press ANY key to continue

Put the right diskette in Drive 0, press any key, and continue.

Format and Backup Instructions (continued)

When the Backup is finished, the screen will show:

31 Files Examined, 31 Files Copied
00 Files Deleted, 00 Files Defective

Writing Directory Track

Backup Complete
TRSDOS READY

The Destination diskette will be in Drive 0. Remove it, and label it as your Working Copy of Electronic Broker. Use this diskette to run the program.

Place the original Program diskette in its protective sleeve and store it in a safe place.

If you are running Electronic Broker on a multi-drive system, with formatted data diskettes in external drives, you may want to make Backup copies of the data diskettes. Follow the general instructions for backing up the Electronic Broker system diskette on a multi-drive system, with the following minor changes and additions:

1. Format the Destination diskette according to the instructions in this appendix for multi-drive users.

2. The screen will show:

You type:

TRSDOS READY

B A C K U P and press
ENTER

TRS-80 Model II Backup
Utility Version 2.0

Source drive number? (0-3)

0 and press **ENTER**

Destination drive number? (0-3)

1 and press **ENTER**

3. Remove the Electronic Broker diskette from Drive 0 and insert the Source data diskette in Drive 0. Put the formatted Destination diskette in Drive 1.

4. The screen will show:

You type:

Source Diskette Ready? (Y/Q)

Y and press **ENTER**

DESTINATION Disk Ready? (Y/Q)

Y and press **ENTER**

The computer will copy the information from the Destination data diskette onto the Source data diskette. When the backup is done, remove the diskettes, label them, and store the backup diskette in a safe place.

Year End Price Indices for Performance Comparisons as of 12/31/81

Year Ending	12/31/80	12/31/81
Standard and Poor's 500	135.76	122.55
Dow Jones Industrial Average	963.99	875.00
New York Stock Exchange Composite Index	77.86	71.11

Appendix C—Abbreviations

Postal Names

Alabama	AL	Nebraska	NE
Alaska	AK	Nevada	NV
Arizona	AZ	New Hampshire	NH
Arkansas	AR	New Jersey	NJ
California	CA	New Mexico	NM
Canal Zone	CZ	New York	NY
Colorado	CO	North Carolina	NC
Connecticut	CT	North Dakota	ND
Delaware	DE	Ohio	OH
District of Columbia	DC	Oklahoma	OK
Florida	FL	Oregon	OR
Georgia	GA	Pennsylvania	PA
Guam	GU	Puerto Rico	PR
Hawaii	HI	Rhode Island	RI
Idaho	ID	South Carolina	SC
Illinois	IL	South Dakota	SD
Indiana	IN	Tennessee	TN
Iowa	IA	Texas	TX
Kansas	KS	Utah	UT
Kentucky	KY	Vermont	VT
Louisiana	LA	Virginia	VA
Maine	MA	Virgin Islands	VI
Maryland	MD	Washington	WA
Massachusetts	MA	West Virginia	WV
Michigan	MI	Wisconsin	WI
Minnesota	MN	Wyoming	WY
Mississippi	MS	American Samoa	AS
Missouri	MO	Trust Territories	TT
Montana	MT		

Account Titles

Custodian	CUST
Estate	EST
Deceased	DEC
Trades Date	TDE
Settlement Date	STE

Addresses

Road	RD
Lane	LN
Township	TWP
Post Office Box	PO
Apartment	APT
Suite	STE

Ticker Codes and Formats for Options

Option Ticker Symbol

Ticker symbol of underlying issuer

+ Expiration Month (one to three characters)

Calls (A to L)	Puts (M to X)	Month	Striking Price (A to T)
A	M	Jan	A 5
B	N	Feb	B 10 110
C	O	Mar	C 15
D	P	Apr	D 20 120 220
E	Q	May	E 25
F	R	Jun	F 30 130
G	S	Jul	G 35
H	T	Aug	H 40 140 240
I	U	Sep	I 45
J	V	Oct	J 50 150
K	W	Nov	K 55
L	X	Dec	L 60 160 260
	Y		M
			N 70 170
			O
			P 80 180 280
			Q
			R 90 190
			S
			T 100 200 300

Quick Reference Sheet

Below is a listing of the screens at which you can enter the program functions, followed by the page number which has a detailed explanation. In front of each function are the keystrokes or special program keys used to access each function.

Keys	Function	Page Number
(E) (B) or (F) (1)	Main Menu	
(A)	Account Maintenance Functions	49
(A)	Add new account to system	50
(C)	Change existing account	52
(R)	Retrieve existing account	18
(D)	Delete existing account	52
(M)	Master list of accounts	22
(S)	Security Maintenance Functions	24
(A)	Add new security to system	54
(C)	Change existing security	61
(R)	Retrieve existing security	25
(D)	Delete existing security	62
(M)	Master list of securities	26
(P)	Price entry for securities	63
(T)	Transaction Entry and Positions	35
(A)	Add transaction	65
(A) (ENTER)	Add trade execution	66
(S) (ENTER)	Security deposit/ withdrawal	66
(C) (ENTER)	Cash deposit/ withdrawal	66
(I) (ENTER)	Cash income	66
(C)	Change trade position	77
(D)	Delete trade position	78
(S)	Stock Adjustment for split/div	39
(P)	Print Transaction Posting Journal	72
(U)	Update Transaction Posting Journal	72
(R)	Retrieve Portfolio Statements	28
(A)	All account postings	30
(S)	Selected account posting	29
(C)	Cross posting for all securities	31
(T)	Individual security cross posting	31
(P)	Posting Journal Entries to Positions	43

Quick Reference Sheet (continued)

L	Long/Short Term Cap Gains	32
R	Retrieve Capital gains report for individual account	33
A	All capital gains reports	33
K	Kill all data from closeout files	85
D	Delete bad closeout record	85
I	Initial Setup	79
C	Change Configuration	83
R	Recovery Procedure	84

Appendix F—Sample Reports

Reports Produced with Sample Data Base

On the following pages are copies of the various printouts produced with the sample data base. The account records produced are not shown here, as they are listed earlier in the manual.

1. Account Master Listing

ACCOUNT	MASTER	LISTING	Jul 27, 1982	00.31	PAGE	1
DESCRIPTION	PHONE	ACCT CODE	CASH ON HAND	ACCT	NBR	
THE SMITH OIL CORPORATION	512-456-9876	SMIO	0	ABC-12348-202		
SMITH OIL PROFIT SHARING PLAN	512-456-9876	SMIPS	0	ABC-12348-202		
JOHN SMITH SR CUST FOR JOHN JR	512-685-2635	SMIJC	0	ABC-12347-202		
MR. JOHN J. SMITH SR.	512-685-6235	SMIJJ	61,837	ABC-12345-202		
JOHN J & MARY P SMITH SR	512-685-2635	SMIJM	0	ABC-12346-202		

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

2. Security Record

RETRIEVE EXISTING SECURITY

TICKER	TAN	TAN
DESCRIPTION		TANDY CORP.
TYPE		STOCK
CLOSING PRICE		35.5
DATE PRICED		02/05/82
DIVIDEND		0
EX-DATE		/ /
PAY DATE		/ /

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

3. Security Master Listing

SECURITY MASTER LISTING		Jul 27, 1982	00.43	PAGE 1
TICKER	DESCRIPTION	PRICE	DATE PRICED	DIV-SP-% EX-DATE
TANDE	.CALL TAN APL 82 @ 25	10.8750	01/05/82	25.00000 04/16/82
TANDE	.CALL TAN APL 82 @ 30	7.0000	01/05/82	30.00000 04/16/82
TANDG	.CALL TAN APL 82 @ 35	3.6250	01/05/82	35.00000 04/16/82
TANAE	.CALL TAN JAN 82 @ 25	9.7500	01/04/82	25.00000 01/15/82
TANAF	.CALL TAN JAN 82 @ 30	5.0000	01/05/82	30.00000 01/15/82
TANAG	.CALL TAN JAN 82 @ 35	1.0000	01/05/82	35.00000 01/15/82
TANAH	.CALL TAN JAN 82 @ 40	0.1250	01/05/82	40.00000 01/15/82
TANDH	.CALL TAN JAN 82 @ 40	1.6250	01/05/82	40.00000 04/16/82
TANJF	.CALL TAN JUL 82 @ 30	8.1250	01/05/82	30.00000 07/16/82
TANJG	.CALL TAN JUL 82 @ 35	4.6250	01/05/82	35.00000 07/16/82
TANJH	.CALL TAN JUL 82 @ 40	3.0000	01/05/82	40.00000 07/16/82
TANPE	.PUTS TAN APL 82 @ 25	0.3750	01/05/82	25.00000 04/16/82
TANPF	.PUTS TAN APL 82 @ 30	30.0000	01/05/82	30.00000 04/16/82
TANPG	.PUTS TAN APL 82 @ 35	3.0000	01/05/82	35.00000 04/16/82
TANPH	.PUTS TAN APL 82 @ 40	5.5000	01/05/82	40.00000 04/16/82
TANME	.PUTS TAN JAN 82 @ 25	0.0625	01/05/82	25.00000 01/15/82
TANMF	.PUTS TAN JAN 82 @ 30	0.1250	01/05/82	30.00000 01/15/82
TANMG	.PUTS TAN JAN 82 @ 35	0.9375	01/05/82	35.00000 01/15/82
TANMH	.PUTS TAN JAN 82 @ 40	5.0000	01/05/82	40.00000 01/15/82
TANSE	.PUTS TAN JUL 82 @ 25	0.7500	01/05/82	25.00000 07/16/82
TANSF	.PUTS TAN JUL 82 @ 30	1.7500	01/05/82	30.00000 07/16/82
TANSF	.PUTS TAN JUL 82 @ 35	4.1250	01/05/82	35.00000 07/16/82
TANSH	.PUTS TAN JUL 82 @ 40	7.2500	01/05/82	40.00000 07/16/82
TILE	COLOR TILE	11.6250	02/05/82	0.00000 / /
TEBI	ELECTRONIC BROKER, INC. (THE)	126.3750	02/06/82	5.52000 01/08/82
MMF	MONEY MARKET FUND	1.0000	02/05/82	0.11275 02/15/82
TAB	TANDY BRANDS	10.7500	02/05/82	0.30000 12/24/81
TAK.F	TANDY CORP 10 % 06/30/94	0.6913	02/05/82	0.10000 06/30/94
TAH.F	TANDY CORP 10 % 12/31/91	0.7150	02/05/82	0.10000 12/31/91
TAN	TANDY CORP.	35.5000	02/05/82	0.00000 / /
TAC	TANDYCRAFTS, INC.	10.3750	02/05/82	0.00000 / /
SPAL	S&P 500 INDEX	122.5500		
INDU	DOW INDUSTRIALS INDEX	875.0000		
NYSI	NYSE COMPOSITE INDEX	71.1100		

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

Sample Reports (continued)

4. Portfolio Statement—Position Summary

Jul 27, 1982

MR. JOHN J. SMITH SR.		STATEMENT OF ACCOUNT		CAPITAL		364,351		
POSITION	SEC.	COST	PRICE	MKT VAL	PROFIT	YIELD	E.A.I.	% MKT
137,555	MMF	1.00	1.00	137,555	0	11.28	15,509	15.36
3,000	TAB	4.93	10.75	32,250	17,452	2.79	900	3.60
4,000	TAC	7.83	10.38	41,500	10,194	0.00	0	4.63
25,000	TAH.F	0.68	0.72	17,875	781	13.99	2,500	2.00
17,661	TAN	4.70	35.50	626,966	543,895	0.00	0	70.02
2,000	TANAE	10.00	9.75	19,500	-500	0.00	0	2.18
-4,000	TANAF	5.95	5.00	-20,000	3,817	0.00	0	-2.23
-2,000	TANAG	0.96	1.00	-2,000	-87	0.00	0	-0.22
-2,500	TANDH	4.54	1.63	-4,063	7,290	0.00	0	-0.45
2,000	TANPH	4.54	5.50	11,000	1,927	0.00	0	1.23
3,000	TILE	8.90	11.63	34,875	8,175	0.00	0	3.89

Total CASH : 61,837 COST: 302,514 MKT VAL 895,458 UNRLZD P/L 592,944

PERFORMANCE OF MARKET INDICES FOR CALENDAR YEAR					
CURR S&P 500	122.55	PREV. S&P 500	122.55	CHNG	0.000
CURR DOW INDU	875.00	PREV. DOW INDU	875.00	CHNG	0.000
CURR NYSE COMP	71.11	PREV. NYSE COMP	71.11	CHNG	0.000

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

5. Portfolio Statement—Tax Lots

Jul 27, 1982

MR. JOHN J. SMITH SR. STATEMENT OF ACCOUNT CAPITAL 364,351

LOT	TDATE	B/S	QUANTITY	PRICE	NET MONEY
MONEY MARKET FUND			POSITION	137,555 COST	1.0000 MKT 1.0000
1	11/24/81	B	75,000	1.0000	75,000.00
2	12/24/81	B	62,555	1.0000	62,555.00

.....

TANDY BRANDS			POSITION	3,000 COST	4.9327 MKT 10.7500
1	10/20/75	B	2,000	2.4615	4,923.00
2	10/10/78	B	1,000	9.8750	9,875.00

.....

TANDYCRAFTS, INC.			POSITION	4,000 COST	7.8266 MKT 10.3750
1	06/13/79	B	2,000	6.2250	12,450.00
2	09/08/80	B	2,000	9.4281	18,856.30

.....

TANDY CORP 10 % 12/31/91			POSITION	25,000 COST	0.6838 MKT 0.7150
1	11/04/81	B	25,000	0.6838	17,093.80

.....

TANDY CORP.			POSITION	17,661 COST	4.7036 MKT 35.5000
1	05/15/70	B	12,261	1.0032	12,300.00
2	01/24/72	B	2,200	2.9036	6,388.00
3	03/15/76	B	1,200	5.5742	6,689.00
4	05/03/81	B	2,000	28.8470	57,694.00

.....

.CALL TAN JAN 82 @ 25			POSITION	2,000 COST	10.0000 MKT 9.7500
1	10/14/81	B	2,000	10.0000	20,000.00

.....

.CALL TAN JAN 82 @ 30			POSITION	-4,000 COST	5.9544 MKT 5.0000
1	10/14/81	S	1,500	6.1833	9,275.00
2	10/14/81	S	500	6.0250	3,012.50
3	10/14/81	S	1,400	5.8286	8,160.00
4	10/14/81	S	600	5.6167	3,370.00

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

Sample Reports (continued)

6. Security Cross Posting

LOT	TDATE	B/S	QUANTITY	PRICE	NET MONEY
.....					
.CALL TAN JAN 82 @ 35			POSITION	-2,000 COST	0.9568 MKT 1.0000
1 12/24/81 S			2,000	0.9568	1,913.50
.....					
.CALL TAN JAN 82 @ 40			POSITION	-2,500 COST	4.5408 MKT 1.6250
1 10/14/81 S			2,500	4.5408	11,352.00
.....					
.PUTS TAN APL 82 @ 40			POSITION	2,000 COST	4.5365 MKT 5.5000
1 10/14/81 B			2,000	4.5365	9,073.00
.....					
COLOR TILE			POSITION	3,000 COST	8.9000 MKT 11.6250
1 10/20/78 B			3,000	8.9000	26,700.00
.....					
+++++++ Any Seventy-five Character Message of the User's Choice ++++++					

7. Capital Gains Report for Individual Account

MR. JOHN J. SMITH SR. CAPITAL GAINS REPORT Jul 27, 1982

TICKER	TDATE	B/S	QTY	PRICE	LIQ. DATE	LIQ. PRICE	LT	ST
TAB	10/20/75	B	3,000	2.462	11/24/81	18.158	47,088	0
TILE	05/30/81	B	1,000	12.985	11/04/81	9.750	0	-3,235
TAB	04/06/81	B	900	25.042	12/24/81	18.500	0	-5,887
TAC	11/24/81	B	1,000	12.248	12/24/81	11.954	0	-294
TAC	06/13/79	B	500	6.225	12/24/81	11.954	2,865	0
TAC	11/23/81	B	1,000	12.675	12/24/81	11.875	0	-800
TAC	11/23/81	B	500	12.675	12/24/81	11.723	0	-476
TAK.F	06/30/74	B	25,000	1.000	12/24/81	0.686	-7,844	0
TAN	03/08/81	B	800	38.844	12/24/81	34.041	0	-3,842
TILE	02/14/79	B	1,000	22.800	12/24/81	11.690	-11,110	0
TANAG	10/14/81	B	500	3.525	12/24/81	0.957	0	-1,284
TANAG	10/14/81	B	600	3.258	12/24/81	0.957	0	-1,381
TANAG	10/14/82	B	900	3.122	12/24/81	0.957	0	-1,949
TOTALS							30,999	-19,148
+++++++ Any Seventy-five Character Message of the User's Choice ++++++								

8. Transaction Posting Journal

TRANSACTION POSTING JOURNAL							DATE	Jul 27, 1982	TIME	01.03
RCD	ACCOUNT	TICKER	DATE	B/S	QTY	PRICE	TRAN	EXP	NET	MISC
1	SMIJJ	MMF	010582	B	61,837	1.0000	0		61,837.00	
2	SMIJJ	MMF	011582	B	1,827	1.0000	0		1,827.00	
3	SMIJJ				0	1827.7600	0		30,087.50	INC
4	SMIJJ	TEBI	012082	B	500	126.8250	100		63,412.50	
5	SMIJJ	TEBI	121582	S	200	150.4380	88		30,087.50	

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

9. Transaction Posting Liquidation Report

TRANSACTION POSTING LIQUIDATION REPORT							DATE	Jul 27, 1982	TIME	01.21
ACCOUNT	TICKER	TDATE	B/S	QTY	PRICE	PROFIT				
SMIJJ	TEBI	012082	B	200	126.8250	0.00				
		121582		200	150.4380	4,722.50				

TOTAL LIQUIDATING TRADES = 1

+++++++ Any Seventy-five Character Message of the User's Choice +++++++

Hard Disk User Guide

The information in this Appendix is designed to supplement the sections in the manual. Information provided there will not be repeated here; refer to the sections indicated for specific instructions. The instructions given in this section are guidelines to help the Hard Disk user. Refer to your Hard Disk Owner's Manual for detailed operating instructions.

Important Note: When you convert to a hard disk system, you may not go back to a floppy diskette system.

If you intend to use your Hard Disk the first time you use Electronic Broker, you will need to take the following general steps (consult your Owner's Manual for specific instructions):

1. Power up the Hard Disk and Model II system. (See POWER UP section in this Appendix.)
2. At TRSDOS-II Ready, copy the contents of the Electronic Broker diskette to Hard Disk using the FCOPY command. (See FCOPY section in this Appendix.)
3. Make a Backup of the contents of the Hard Disk, using the SAVE command. This Backup information can later be retrieved using the RESTORE command. This step is optional. (See SAVE and RESTORE sections in this Appendix.)
4. Change configuration from floppy diskette to Hard Disk system. (See CHANGE CONFIGURATION section in this Appendix.)
5. Power down the computer when you are done. (See POWER DOWN section in this Appendix.)

You are now ready to run Electronic Broker on your Hard Disk system.

The screen message will prompt you to answer date and time questions. Answer the prompts as described in the section Screen Prompts in Section One.

The screen should show: TRSDOS-II Ready.

Continue to follow the manual's instructions for Running the Program.

You must be very careful not to enter data in the Electronic Broker program if the Write Protect button is ON. Check the Hard Disk when you power up your system to make sure the Write Protect button is OFF.

If you do enter data with the Write Protect button ON, you may receive program error messages. The data you entered may be lost or altered. Some of the error messages you might receive are:

ERROR 15—Disk is Write Protected Returning to Beginning of (Program Name)

?IO Error in (Program line #)

ERROR 6—Attempt to open a file that has not been closed

If you receive an error message, first turn off the Write Protect button. When the screen shows Ready > type: (R)(U)(N) and press (ENTER). You may receive more screen messages, or the cursor may continue to flash at the error message.

This should take you to a point in the program where you can reenter the data. You must reenter all the data processed (written to disk) from the time the Write Protect button was activated. For instance, if you had entered transactions at the Add Transaction Menu, then accidentally activated the Write Protect button prior to Posting, the Posting process would be interrupted, and no data would be retained.

POWER UP

1. Be sure all floppy diskette drives are empty and all components are turned OFF.
2. Turn Drive 4 (the Primary Drive) ON.
3. Turn all Secondary Drives ON.
4. Turn all peripherals (printer, etc.) ON.
5. Turn the Floppy Disk Expansion unit ON.
6. Turn your computer ON.

If your operating system is stored on Hard Disk (TRSDOS-II), the computer will go to Drive 4 and automatically load the operating system. If Drive 4 hasn't been INITIALIZED, the display will "white out" and the message BOOT ERROR HN will appear. See the Owner's Manual for information on INITIALIZING the Hard Disk.

FCOPY

If you have not already done so, you will want to make a Backup of the Program diskette first, as a means of safeguarding it. Follow the instructions in Appendix A, Backup and Format Instructions, for step-by-step information.

1. At TRSDOS-II Ready, insert the Electronic Broker diskette in Drive 0.
2. If you are using the Primary Drive (Drive 4), type: `F C O P Y 0`
`0 T O 4 { S Y S ' A L L }` and press `ENTER`.

If you are using a Secondary Drive, type the correct drive number (5-7) in place of 4, as used in this example.

The program will prompt you for any needed information. Consult your Owner's Manual if you receive a screen message you don't understand.

If you have floppy diskettes in more than one drive, and you wish to transfer the contents to Hard Disk, make sure that you repeat the FCOPY command line, using the correct drive number for each.

3. When the copying is complete, the screen will again show TRSDOS-II Ready. At this point, the program has been loaded on the Hard Disk and is ready for operation.
4. Remove the floppy diskette from Drive 0, and store it in a safe place.

SAVE

After the program has been loaded on your Hard Disk, and at any time during your operation of the Electronic Broker program, you may want to backup some or all of the data on your disk for safekeeping.

Note: The SAVE function is optional.

If you want to backup everything on the Hard Disk, follow these steps.

1. Place a blank, write-enabled diskette in any of your drives. (Drive 0 is used in this example.) Type: `S A V E 4 T O 0 { S Y S`
`0 A L L }` and press `ENTER`.

If you are using a Secondary Drive, type that drive number instead of 4, as used in the example. This operation may take awhile, especially if you have many files stored on your Hard Disk drive.

2. The system will prompt you to enter a new diskette if you have more data stored than will fit on one diskette. It will also tell you the Dataset and Volume numbers of the SAVED diskette. Record this information on each diskette to avoid confusion when you use these diskettes later.

3. When the SAVE is complete, the screen will again show: TRSDOS-II Ready.
Take the floppy diskettes you used and store them in a safe place.

If you want to SAVE only certain files on the Hard Disk, see the Owner's Manual for specific instructions.

RESTORE

This feature offers a means of RESTORing the SAVED information from floppy diskette to Hard Disk.

Note: This function is optional.

If you want to use the information you SAVED previously, use the following instructions. If you want to RESTORE only specific files, refer to your Owner's Manual for the proper instructions.

1. At TRSDOS-II Ready, place Volume 0 of the Dataset of SAVED diskettes in Drive 0 and type: **(R)(E)(S)(T)(O)(R)(E)()(!): (0)() (T)(O)() (4)() ({S)(Y)(S)() (A)(L)(L)() (E)(N)(T)(E)(R).**

If you are using a Secondary Drive, type that drive number instead of 4.

2. If the Dataset you SAVED consists of more than one Volume (more than one diskette), TRSDOS-II will prompt you when to enter the next Volume of the Dataset it is restoring.

If you receive any screen messages you do not understand during this process, consult your Owner's Manual for explanation and directions.

3. When the RESTORE process is complete, you can access the stored information on your Hard Disk.

CHANGE CONFIGURATION

To change configuration from floppy diskette to Hard Disk system:

1. At the Main Menu, press **(I)** for Initial Setup. Then press **(C)** to select the Change Configuration function. The Change Configuration screen is shown on page 83. Enter the appropriate number. When you have answered all prompts, the program will return you to the Initial Setup Menu.

To change configuration from one Hard Disk to another Hard Disk:

1. At TRSDOS-II Ready, type: **M O V E** **I** **:** **4** **T O** **5** **S Y S** **.** **A L L** **)** **E N T E R** or use the correct drive numbers for the drives to and from which you will be moving data.

This will MOVE all files from one Hard Disk to another. If you want to MOVE only specific files, consult your Model II Owner's Manual for detailed information.

The screen will display a prompt for any needed input. If you get a message you don't understand, consult your Hard Disk Owner's manual or your Model II Owner's Manual for detailed instruction.

2. When the MOVE process is done, the screen will show: TRSDOS-II Ready. Type: **E** **B** **E N T E R** to start the Electronic Broker program.
3. At the Main Menu, type: **I** for the Initial Setup Menu. Then type: **C** for Change Configuration.
4. The screen that appears is identical to the Initial Setup function screen. Enter the correct information as described in the section Using Initial Setup.

POWER DOWN

1. Turn the computer OFF.
2. Turn all peripherals (including floppy disk drives) OFF.
3. Turn all Secondary Hard Disk drives (Drives 5-7) OFF.
4. Turn the Primary Drive (Drive 4) OFF. Always be sure Drive 4 (the Primary Drive) is turned OFF last!



RADIO SHACK, A DIVISION OF TANDY CORPORATION

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RYDALMERE, N.S.W. 2116**

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WEST MIDLANDS WS10 7JN**